POLICIES AND PROCEDURES OF THE BOARD OF ELECTIONS IN THE CITY OF NEW YORK

SECTION 4

Canvass/Re-Canvass Procedure

Revision History:	
Original Effective Date:	9/7/2010
Revision Date:	10/2014
Version #:	24
Author(s)	EVS
Applicability:	Board of Elections in the City of New York

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1.0 PURPOSE

After an Election, the Board of Elections in the City of New York (BOE in NYC) conducts a number of canvass activities as prescribed by New York State Election Law, New York State Board of Elections Rules and Regulations, and BOE in NYC policy and standard operating procedures.

These activities include:

1. Receiving Materials from the Poll sites
2. Receiving Unofficial Election Night Results
3. Manually Re-Canvassing Emergency Ballots
4. Reading Portable Memory Devices (PMDs)
5. Recording Write-In Names from Poll site Ballots
6. Auditing Poll Site Scanners
7. Re-Canvassing Poll site Ballots
8. Canvassing/Re-Canvassing Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots
9. Auditing Central Ballot Scanners
10. Manually Re-Canvassing Paper Ballots Re-Canvassing
11. Canvassing Mechanical Lever Voting Machines
12. Canvassing Ballot Marking Device (BMD) Affidavit Ballots
13. Entering Write-in Names into S-Elect

The purpose of this document is to provide detailed instructions to accomplish these tasks. As mandated by the Commissioners of Elections in the City of New York, bi-partisan Board staff will implement the procedures detailed in this document in an accurate and uniform manner in New York, Bronx, Kings, Queens and Richmond counties.

2.0 BACKGROUND

Before the advent of the new Poll site Voting System (PVS) in the City of New York, canvass activities included receiving materials from the poll site, receiving NYPD Return of Canvass results, re-canvassing the mechanical voting machines and canvassing/re-canvassing paper ballots (Absentee/Military/Special, Affidavit, Emergency, Presidential, Federal, and Ballot Marking Device (BMD) ballots).

In 2002, Congress passed the Help America Vote Act (HAVA), which mandated changes in the conduct of elections for Federal offices. In 2005, New York State enacted the Election Reform Modernization Act (ERMA). ERMA provided for the replacement of mechanical lever machines with poll site based scanning systems that provide for all voting via paper ballots.

In 2009, the State Board of Elections (SBOE) reached an important milestone and certified two voting systems for use by New York State voters. On January 5, 2010, the Commissioners of Elections in the City of New York selected the Election Systems and Software, Inc. (ES&S) DS200 Scanner and the AutoMARK Ballot Marking Device as the new voting system for New York City starting in the Primary and General Elections of 2010. The DS200 uses optical scanning technology to read marked paper ballots and tally the results. The new system allows for the immediate tabulation of paper ballots at the polling site and provides an auditable paper trail as mandated by New York State Election Law.

At the poll sites on Election Day, voters can choose to:

A) Manually fill in the ovals on their ballots to make their selections, and then scan the ballot on an optical scanner, <u>or</u>

B) Use the Ballot Marking Device (BMD) privately and independently to make selections using a touch screen, a Braille-enhanced keypad, a sip and puff device or rocker paddle. They can also hear the ballot presented in audio format using headphones. Voters using the BMD then scan the ballot on an optical scanner.

3.0 OVERVIEW OF CANVASS PROCEDURES

Canvass activities begin on Election Night in each borough when designated Police Officers transport the Portable Memory Devices (PMDs) and all required election materials to a designated precinct, and then to that borough's facility. A reception process takes place in which Bi-partisan teams of Board staff read, account for, document, and forward all materials to the secured storage location in the borough facility where each canvass activity takes place.

Each canvass activity is briefly summarized below. Detailed procedures for the activities follow. Consult the Table of Contents for a specific activity. Candidates and the public are entitled to watch and / or object to these procedures, as enumerated in NYS Election Law Section 9-209 (1) (b) and (1)(c).

1. Receipt of the Election Materials from the Poll sites

At the close of the polls on Election Night materials used at the poll sites are packaged according to New York State Election Law, New York State Board of Elections Rules and Regulations, and BOE in NYC policy and standard operating procedures. The materials are given to an assigned Police or Peace Officer, transported by assigned Police or Peace officer to a designated Police Precinct and then to the designated borough facility. The movement of all materials is documented, and receipts are prepared and maintained for each handoff. For detailed procedures, see page 14.

2. Receipt of the Unofficial Election Night Results

At the close of the polls on Election Night poll workers at designated police precincts for each poll site read the PMDs used in an election into Election Night Results (ENR) Laptops. The ENR Laptops electronically transfer the unofficial election night results to the General Office. The results are then electronically transferred to the Media, the SBOE, the Board's Election Management System (EMS) and the Board's web site. For detailed procedures of how the General Office receives the unofficial election night results, see page *33*.

3. Re-Canvass of the Emergency Ballots

On Election Day, if any emergency situation should occur where no scanners are functional for voting purposes, voters are directed by the poll workers to place their ballots into the emergency ballot bin located on the front of each scanner. If at any point during the day voters are again able to scan their ballots, the emergency ballot bin is locked.

At the end of the night, the poll workers attempt to scan any Emergency ballots cast during the period of time when no scanners were available for normal use. If the ballots do not scan properly, (i.e. overvote, blank ballot, error, etc.) the poll workers then manually canvass the Unscanned Emergency Ballots and enter that count on the Return of Canvass. They also place the unscanned Emergency Ballots into the Emergency ballot envelope and indicate on the outside of the envelope the number of ballots enclosed.

If any Unscanned Emergency Ballots are used on Election Day, they are re-canvassed after the election in the Borough Office using the steps provided in procedure documentation. These procedures describe how to verify that the correct number of Emergency Ballots is present, and the preparations required for tallying the ballots. For detailed procedures, see page *214*.

4. Reading of the Portable Memory Devices (PMDs)

At every poll site on Election Day, each scanner has a Backup PMD that is returned to the Board facility while still inside the poll site scanners. The PMDs are removed from the scanners and then read into the Board's Election Management System (EMS) in order to obtain the results of the canvass of Election Day ballots in a digital format. A bi-partisan team reads the PMDs in a secured environment. The movement of each PMD is documented. The PMDs are returned to the secured storage, and receipts are completed for each handoff. For detailed procedures, see page *39*.

5. Recording of the Write-In Names from the Poll Site Ballots

After each election, the BOE in NYC collects all of the write-in names cast on any ballot, determines the validity of that write-in candidate and tallies the valid votes. When a voter scans their ballot, the scanner checks the ballot for any write-in votes, but will only consider write-in votes indicated by a filled in oval for "Write-In" candidate in any contest. The scanner will not consider any write-in name where the associated oval for that contest is blank. However, according to NY State BOE Rules and Regulations 6210.15(a) (5), a write-in is valid when:

> *"[the] voter writes in or stamps the name of a candidate in the designated write-in space for that race, even if the write-in square, oval or arrow is not marked."*

For detailed procedures, see page *56*.

6. Re-Canvass of the Poll Site Ballots

Election results received from the Unofficial ERM system, as read from the data PMDs on election night, as well as the election results received from the backup PMDs read after the election, are both stored in S-Elect (the Board's central election management system). The system compares these two results and generates a Discrepancy Report where the totals for any candidate are different. Bi-partisan teams of borough personnel review the Discrepancy Report and resolve the discrepancies by using the DS850 to tally the ballots in the EDs with such discrepancies. The movement of all materials is documented, receipts are completed and the Discrepancy Report and election day ballots are returned to secured storage and all materials are set aside for later archiving. For detailed procedures, see page *69*.

7. Audit of the Poll Site Scanners

New York State Election Law requires an audit of the scanners used in an election. The following is excerpted from New York State Board of Elections Audit Procedure for Compliance with 6210.18:

"It is important to understand the purpose of the New York State canvass audit. According to Best Practices and Principles for Canvass Audits (http://www.electionaudits.org/principles), a canvass audit routinely checks voting system performance in contests, regardless of how close margins of victory appear to be. The canvass audit is designed to assess how the electronic voting system performed on Election Day using the actual votes cast by voters. This verifies the accuracy of the voting system and should not be confused with a re-canvass which is meant to verify the election results. New York State has specific statutory provisions for the canvass and re-canvass of election results.

Canvass auditing helps verify that the complex voting systems, including central- count systems, in use today are accurately encoding and tallying ballots and that the winners of each election contest are called correctly. However, effective canvass auditing can also serve as a tool for:

- *Detecting voting system problems that may require further investigation*
- *Revealing when escalation of recounts are necessary to verify election outcomes*
- *Finding common errors voters make in marking ballots that might be avoided in future elections with voter education;*
- *Identifying human errors in the tally process that can be remedied by new procedures in future elections;*
- *Deterring fraud;*
- *Providing statistical data to improve future elections or audits;*
- *Providing for continuous improvements in the conduct of elections; and*
- *Promoting public confidence in elections."*

For detailed procedures, see page *76*.

8. Manual Re-Canvass of the Ballots

Typically, all paper ballots are tallied electronically, either by Election Day scanners or by high speed central ballot scanners used at the Borough Offices. On rare occasions, the Board must manually re-canvass the ballots. These occasions include court ordered recounts and the Board Commissioners' approved standard for an automatic manual re-canvass. These procedures which provide detailed instructions for how to manually tally ballots are also used for tallying emergency ballots (if necessary) or to resolve discrepancies during the re-canvass. For detailed procedures, see page *97*.

9. Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots

Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots are counted after an election. The Board canvasses Absentee/Military/Special, Affidavit, Presidential, and Federal (including FWAB) ballots on a date chosen by the Commissioners, usually one week and one day after the election.

The Board conducts the canvass of these paper ballots utilizing a central ballot scanning system. However, in those instances where only one contest appears on the paper ballot, the Borough Commissioners are authorized to direct that a manual canvass/re-canvass of paper ballots be conducted, if they determine that it would be more efficient to conduct the canvass/re-canvass in that manner. For detailed procedures, see page *124*.

10. Audit of the Central Ballot Scanners

New York State Election Law requires an audit of the central ballot scanners used to canvass Absentee, Special, Military, Federal, Presidential and Affidavit ballots after an election. In compliance with the law, a list of election districts (EDs) for each borough is ordered in random sequence and is audited. Bi-partisan Board of Elections Team(s) manually canvass the ballots of the selected EDs and compares them against the results from the central ballot scanners. For detailed procedures, see page *87*.

11. Re-canvass of Mechanical Lever Voting Machines

The Board conducts a re-canvass of Mechanical Lever Machines used in any election as prescribed by New York State Election Law, New York State Board of Elections Rules and Regulations, and the Board's duly adopted Procedures. The purpose of these procedures is to provide detailed guidance and instructions on how to conduct the Re-Canvass of Votes Cast on the Mechanical Lever Voting Machines in accordance with these statutes. For detailed procedures, see page *223*.

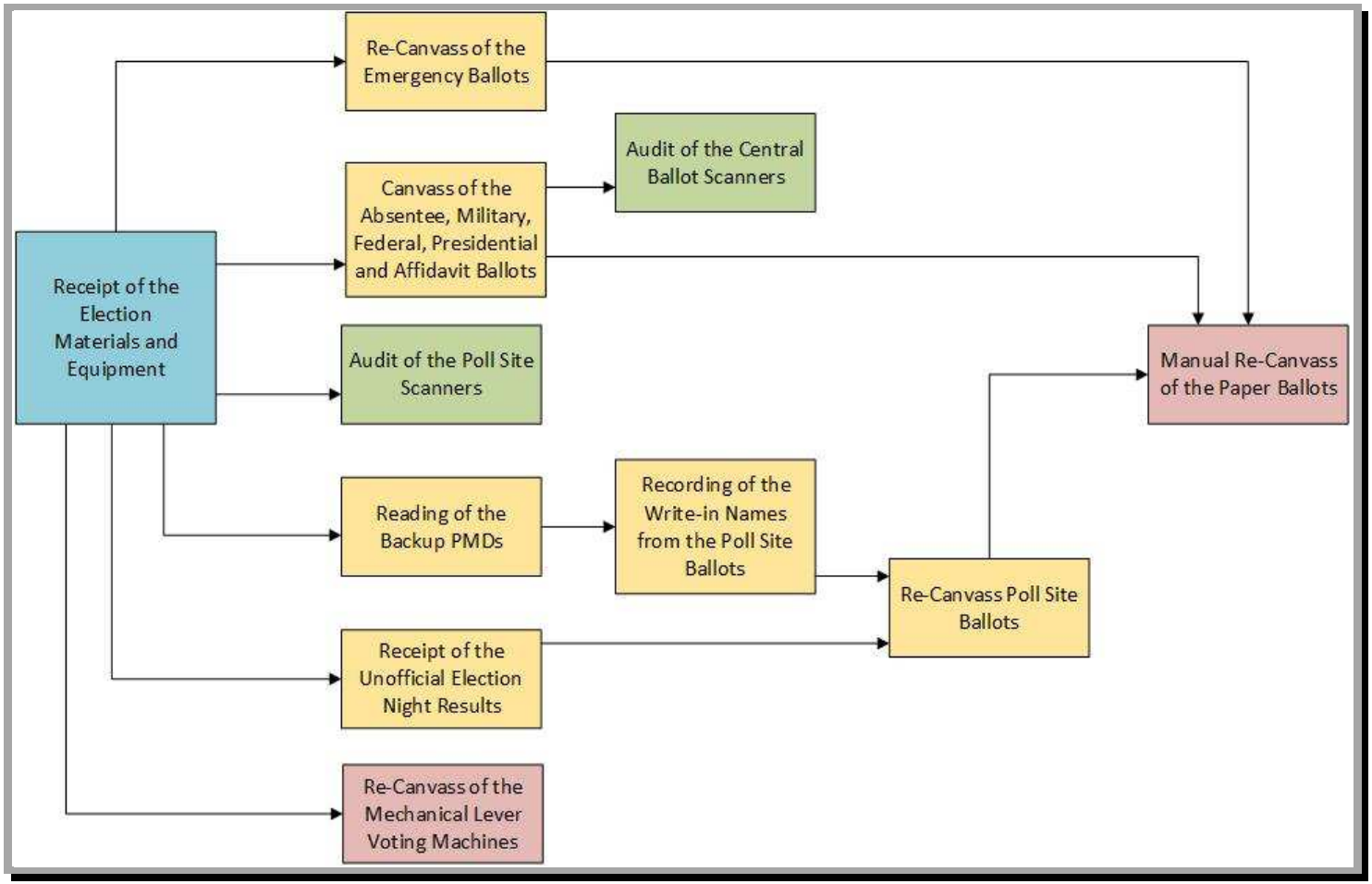
12. Canvass of Ballot Marking Device (BMD) Affidavit Ballots

Upon their receipt at the borough facilities, all Affidavit Ballot envelopes are verified by bi-partisan teams of Board staff. Valid Affidavit envelopes are sorted, shuffled and opened, and then canvassed and tallied following the procedures in *Section* 15.0 - Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots. However, BMD Affidavit Ballots are not canvassed together with other Affidavit ballots, but are transferred to a designated BMD Affidavit ballot manual canvass. The BMD Affidavit manual canvass can be conducted by Assembly District (AD) for a large borough or a large election, or can be conducted by election district (ED) for a smaller borough or election. Only the process is conducted by AD or ED, the individual ballot results are canvassed by Election District. The decision is up to each individual borough, on an election-by-election basis on which process to utilize. For detailed procedures, see page *197*.

13. Entering of Write-in Names into S-Elect

When voters choose to write in a name on a ballot as their selection for a contest and it is received in the borough after an election, bi-partisan teams of Board staff review the ballot and use the State Board's standards to determine the validity of the selection. Upon this determination, and following Board of Elections in the City of New York policies and procedures, the valid write-in names are entered into the Board's central election management system. For detailed procedures, see page *235*.

4.0 POST-ELECTION ACTIVITY PROCESS FLOW


Re-Canvass of the Emergency Ballots
Audit of the Central Ballot Scanners
Canvass of the Absentee, Military, Federal, Presidential and Affidavit Ballots
Receipt of the Election Materials and Equipment
Audit of the Poll Site Scanners
Manual Re-Canvass of the Paper Ballots
Reading of the Backup PMDs
Recording of the Write-in Names from the Poll Site Ballots
Re-Canvass Poll Site Ballots
Receipt of the Unofficial Election Night Results
Re-Canvass of the Mechanical Lever Voting Machines

The following is the mandated sequence of events for Canvass Activities. Some of these procedures may occur in parallel while others are dependent on earlier procedures and will not begin until the dependent procedure is completed:

1) Reception, organization and cataloging of materials

2) Identification of the contests that have priority to be canvassed first in the following order:

   - Delegates and alternates to the judicial convention (Primary)
   - State Committee (Primary)
   - District Leader/County Committee (Primary)
   - Public Offices for the Primary and General
   - Ballot Questions (General)

3) Preparation and posting of the order of the canvass for public inspection

4) Identification of number of bi-partisan canvass teams required by Borough management

5) Removal of Backup PMDs from the scanners, and transport to the PMD reading areas where detailed Board procedures are followed

6) Mandatory Audit of the Randomly Ordered Scanners

7) Viewing of the ballot images in the EMS to record Write-in Names

8) Comparison of unofficial election night results to results from Backup PMDs in order to conduct the re-canvass of election day poll site ballots

9) Resolution of discrepancies, if any, using paper ballots

10) Re-canvass of un-scanned Emergency Ballots

11) Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots

12) Mandatory Audit of the Randomly Ordered EDs canvassed on the Central Ballot Scanners

13) Manual Re-canvass, if mandated by the Policies and Procedures of the Commissioners of Elections for the City of New York

5.0 ROLES AND RESPONSIBILITIES

Each procedure has its own detailed list of roles and responsibilities according to what is required for that process. However, in all cases bi-partisan Board staff is allocated according to the following roles and areas of responsibility.

Role	Responsibility
Senior Board Staff	▪ A team usually comprised of the Borough Chief and Deputy Chief, or their designees, responsible for access to the secured storage area ▪ Issues are escalated to this team for approval or guidance, as needed ▪ Ensures staff are trained in all of the canvass activities and allocates staff accordingly ▪ Responsible for the completion and maintenance of all Canvass activity documentation including tracking sheets and receipts
Bi-partisan Team of Lead People	▪ Responsible for the oversight and supervision of each canvass activity and the adherence to the relevant procedures ▪ Responsible for escalating any issues or concerns to the Senior Board staff as necessary
Bi-partisan Team of Borough Staff	▪ Responsible for performing the specified tasks in each of the canvass activities
<u>Supporting Staff</u>: - Electronic Voting Systems (EVS) - Voting Equipment Operations Unit (VEOU) - Candidate Records Unit (CRU) - Office of General Counsel - Management Information Systems (MIS)	▪ Responsible for providing assistance and guidance in relevant areas

6.0 TRACKING PROCEDURES FOR CANVASS ELECTION MATERIALS

6.1 Purpose and Requirements

Each canvass activity shall be documented. Tracking sheets designed specifically for that activity are maintained throughout the process indicating the movement of materials, the persons handling the materials or performing the tasks, the quantities of materials, the disposition of items, and the dates of performance. Receipts are prepared and signed for each transfer in an activity and between activities. Receipts include the printed names and signatures of the giver and the receiver, date of the handoff, description of the item and the quantities. All documentation is archived along with the relevant election materials for the given election for a minimum of 24 months.

The purpose of this section is to provide detailed procedures for tracking the materials used for the canvass of an election.

Tracking Procedures for Canvass Election Materials Requirements

- All items checked into or out of secured storage are tracked.
- Bi-partisan Teams of Board staff oversees all transactions in the secured storage area.

Chain of Custody Tracking and Documentation

Any materials checked into or out of the secured storage area must be documented on the Secured Storage – Supplies Check In/Check Out Form below.

SECURED STORAGE - SUPPLIES CHECK IN/CHECK OUT FORM

1. This form must be completed each time an item is checked in or checked out of Secured Storage.
2. A Democrat and a Republican must be present to retrieve any item from or store item in the Secured Storage.

			Check in to Secured Storage		**Check Out of Secured Storage**	
ITEM	Poll site HASNO #	Seal Number	DEM	REP	DEM	REP
_____	_____	_____	_____	_____	_____	_____
			(print name)	*(print name)*	*(print name)*	*(print name)*
_____	_____	_____	_____	_____	_____	_____
			(sign name) *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*
_____	_____	_____	_____	_____	_____	_____
			(print name)	*(print name)*	*(print name)*	*(print name)*
_____	_____	_____	_____	_____	_____	_____
			(sign name) *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*
_____	_____	_____	_____	_____	_____	_____
			(print name)	*(print name)*	*(print name)*	*(print name)*
_____	_____	_____	_____	_____	_____	_____
			(sign name) *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*
_____	_____	_____	_____	_____	_____	_____
			(print name)	*(print name)*	*(print name)*	*(print name)*
_____	_____	_____	_____	_____	_____	_____
			(sign name) *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*
_____	_____	_____	_____	_____	_____	_____
			(print name)	*(print name)*	*(print name)*	*(print name)*
_____	_____	_____	_____	_____	_____	_____
			(sign name) *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*	*(sign name)* *(date)*

7.0 RECEIVE MATERIALS FROM THE POLL SITES

7.1 Purpose and Requirements

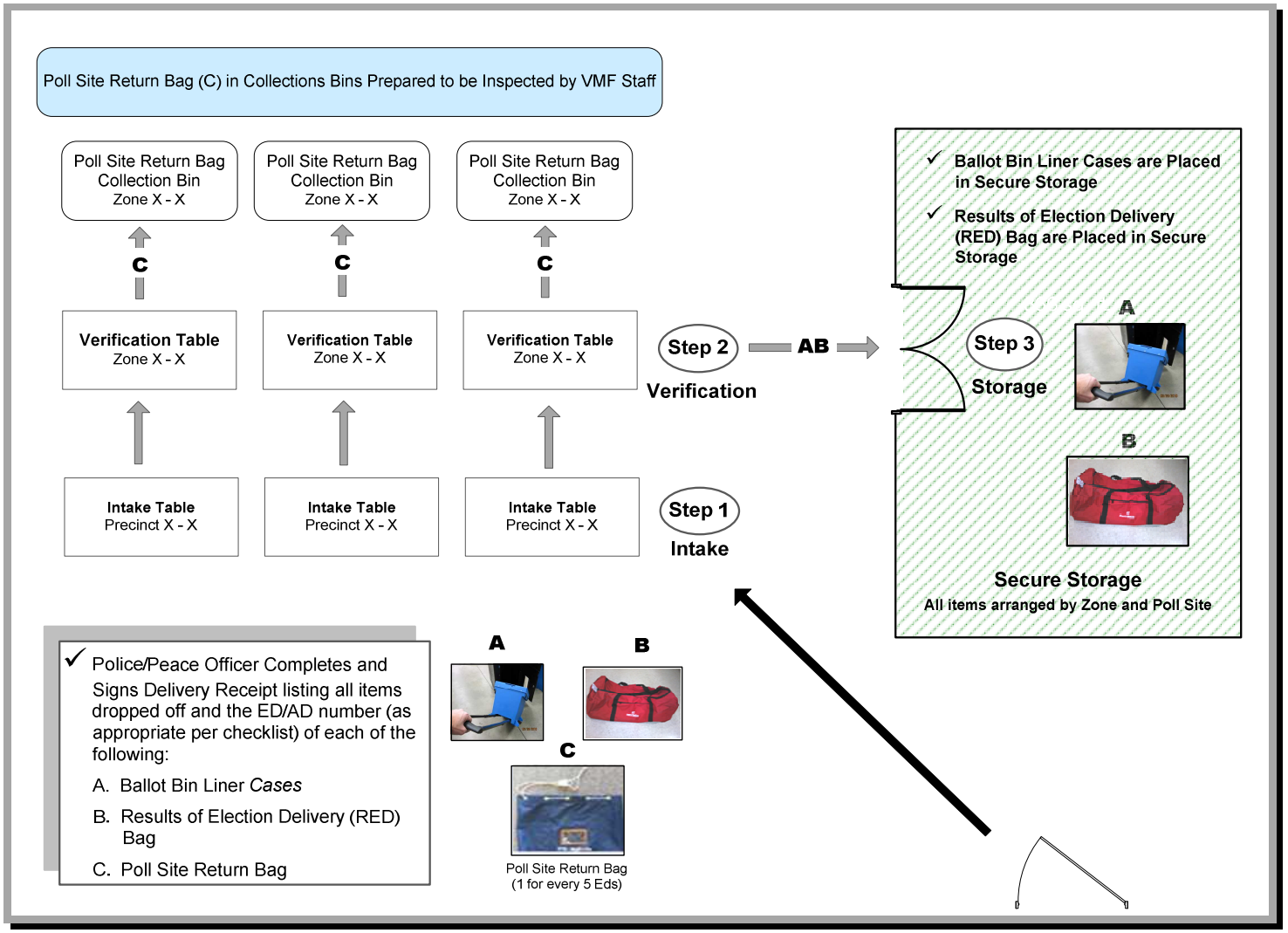
At the close of the polls on Election Night materials used at the poll sites are packaged according to New York State Election Law, New York State Board of Elections Rules and Regulations, and BOE in NYC policy and standard operating procedures, given to the designated police/peace officer, and transported by the designated police/peace officer to the specified borough facility. In each borough, teams of bi-partisan Board staff are present to document the receipt of the election materials.

The purpose of this section is to provide detailed procedures for the receipt, accounting, documentation, transport and storage of the materials used on the night of an election.

Error! Not a valid bookmark self-reference. Requirements:

- Police/peace officer transports election materials between precinct and borough facility in a timely manner.
- Bi-partisan Teams of Board staffs transport election materials between borough facilities.
- Bi-partisan Teams of Board staffs provide receipts for all transactions and attempt to recover any missing items.
- All documentation is maintained in secured storage.

7.2 Space and Physical Resources


Poll Site Return Bag (C) in Collections Bins Prepared to be Inspected by VMF Staff
Poll Site Return Bag Collection Bin Zone X - X
Poll Site Return Bag Collection Bin Zone X - X
Poll Site Return Bag Collection Bin Zone X - X
C
C
C
Verification Table Zone X - X
Verification Table Zone X - X
Verification Table Zone X - X
Intake Table Precinct X - X
Intake Table Precinct X - X
Intake Table Precinct X - X
Step 2
Verification
AB
Step 1
Intake
✓ Ballot Bin Liner Cases are Placed in Secure Storage
✓ Results of Election Delivery (RED) Bag are Placed in Secure Storage
Step 3
Storage
A
B
Secure Storage
All items arranged by Zone and Poll Site
✓ Police/Peace Officer Completes and Signs Delivery Receipt listing all items dropped off and the ED/AD number (as appropriate per checklist) of each of the following:
A. Ballot Bin Liner Cases
B. Results of Election Delivery (RED) Bag
C. Poll Site Return Bag
A
B
C
Poll Site Return Bag (1 for every 5 Eds)

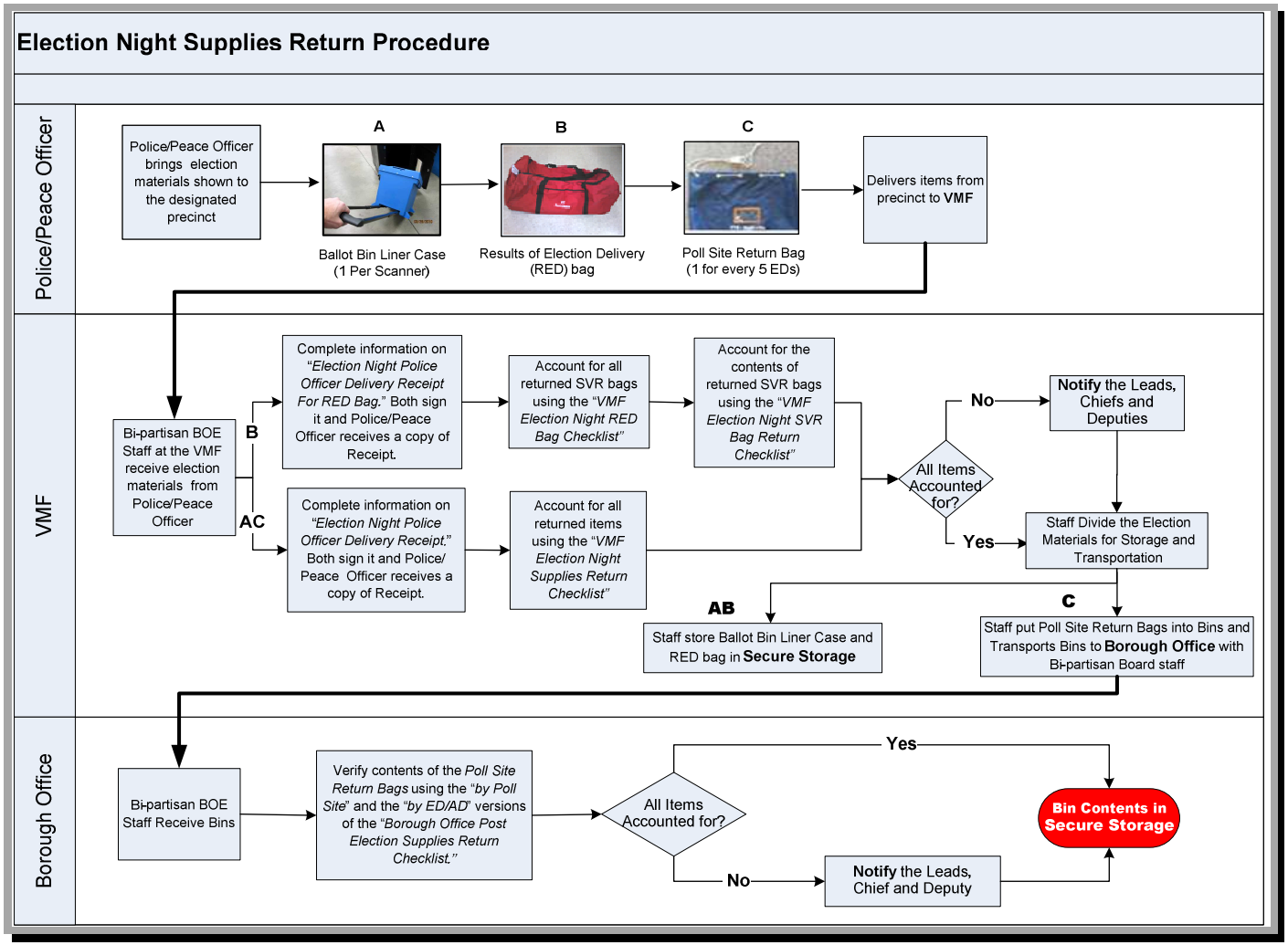
7.3 Responsible Personnel

Role	Responsibility
VMF Supervisors / Borough Office Lead People	▪ Responsible for the oversight of receiving materials ▪ Responsible for coordinating and managing the process of providing the appropriate materials
Intake Clerks	▪ Responsible for receiving deliveries from the Police/Peace Officer and documenting the materials that arrive
Verification Clerks	▪ Responsible for accounting for all items delivered from each precinct
Borough Office Clerks	▪ Responsible for opening and accounting for all items inside of the Poll Site Return Bag

7.4 Chain of Custody Tracking and Documentation

Any materials checked into or out of the secured storage area must be documented on a tracking sheet as provided in Section 6.0

7.5 Error! Not a valid bookmark self-reference. **Overall Process Flow**


Election Night Supplies Return Procedure
Police/Peace Officer
VMF
Borough Office
Police/Peace Officer brings election materials shown to the designated precinct
A
Ballot Bin Liner Case (1 Per Scanner)
B
Results of Election Delivery (RED) bag
C
Poll Site Return Bag (1 for every 5 EDs)
Delivers items from precinct to VMF
Bi-partisan BOE Staff at the VMF receive election materials from Police/Peace Officer
B
Complete information on "Election Night Police Officer Delivery Receipt For RED Bag." Both sign it and Police/Peace Officer receives a copy of Receipt.
Account for all returned SVR bags using the "VMF Election Night RED Bag Checklist"
Account for the contents of returned SVR bags using the "VMF Election Night SVR Bag Return Checklist"
AC
Complete information on "Election Night Police Officer Delivery Receipt." Both sign it and Police/ Peace Officer receives a copy of Receipt.
Account for all returned items using the "VMF Election Night Supplies Return Checklist"
All Items Accounted for?
No
Notify the Leads, Chiefs and Deputies
Yes
Staff Divide the Election Materials for Storage and Transportation
AB
Staff store Ballot Bin Liner Case and RED bag in Secure Storage
C
Staff put Poll Site Return Bags into Bins and Transports Bins to Borough Office with Bi-partisan Board staff
Bi-partisan BOE Staff Receive Bins
Verify contents of the Poll Site Return Bags using the "by Poll Site" and the "by ED/AD" versions of the "Borough Office Post Election Supplies Return Checklist."
All Items Accounted for?
Yes
Bin Contents in Secure Storage
No
Notify the Leads, Chief and Deputy

7.6 Detailed Procedures

The designated police/peace officers transport Election materials from all poll sites back to the police precinct, and then back to the specified borough facility. As the materials arrive, Bi-partisan teams of Board staff account for all expected materials by using the checklists set forth below. All materials are separated for transport to other Board facilities, as necessary. If any materials are missing, Board staff members notify the Chief and Deputy Chief Clerk of the borough immediately. When all materials are accounted for, they are placed in secured storage until they are needed for further post election activities.

Bi-partisan Board Staff:

7.6.1 Intake of Materials Delivered by Police/Peace Officer

Poll Site Return Bag and Ballot Bin Liner Case:

Police/Peace officer delivers materials to the specified borough facility:

Step 1. Complete and sign *the Election Night Police/Peace Officer Delivery Receipt* listing all items dropped off by the police or peace officer. Place a checkmark in the relevant column for all materials received.

Step 2. Review the receipt for accuracy and both the police/peace officer and the bi-partisan team of Board staff sign at the bottom of the receipt verifying they agree on the items being delivered.

RED Bags:

Step 1. Ensure police or peace officer completes and signs the *Election Night Police/Peace Officer Delivery Receipt for RED Bag* form for every bag delivered.

Step 2. Review the receipt for accuracy. Both the police/peace officer and the bi-partisan team of Board staff sign at the bottom of the receipt verifying agreement on the items delivered.

7.6.2 Verification of Materials Delivered

Poll Site Return Bag and Ballot Bin Liner Case:

Step 1. Using the *VMF Election Night Supplies Return Checklist*, write in the ED/AD of the Poll Site Return Bag in the designated ED/AD # area.

Step 2. Using the *VMF Election Night Supplies Return Checklist*, check off each ballot bin liner case as you receive it.

Step 3. Once you have accounted for all the materials for a poll site, place the form for that poll site in a pile of verified poll sites.

NOTE: If any materials are missing, notify the Chief, Deputy Chief Clerk and Lead People immediately.

RED Bags:

Step 1. Using the *VMF Election Night RED Bag Checklist*, check that all the large Yellow SVR bags for that precinct have returned. Ensure to sign and date the bottom of the form, as required.

Step 2. Using the *VMF Election Night SVR Bag Return Checklist*, open the large Yellow SVR bags one bag at a time to verify the small pouches for all scanners at the poll site. One pouch at a time, check off the items inside the small yellow pouch. Place the verified small yellow pouches back into the large Yellow SVR bags.

Step 3. As you verify each large Yellow SVR Bag, place it back into the RED bag.

Step 4. When all the large Yellow SVR Bags are verified, place the RED bag in secured storage.

NOTE: If any large Yellow SVR Bags, small Yellow pouches and/or PMDs are missing, notify the Chief, Deputy Chief Clerk and Lead\ People immediately.

7.6.3 Board Staff Divide Materials and Prepare for Delivery to Secured Storage

Step 1. Once all materials have been accounted for, divide the materials and prepare for storage and transportation as follows:

A. Transport Poll Site Return Bags (1 per 5 EDs) to the Borough Office. Package all the Blue Poll Site Return Bags going to the borough office into large bins for transportation. PLEASE NOTE: A bi-partisan team of Board staff must be present at all times during the delivery to the borough office.

B. Place Ballot Bin Liner Cases (1 per scanner), and RED Bag(s) in Secured Storage.

NOTE: Election documents and materials must be carefully tracked and handled by bi-partisan teams of Board personnel only.

7.6.4 Borough Office Staff Verify Contents of Poll Site Return Bags

Step 1. Upon receipt of the collection bins for Poll Site Return Bags at the borough office, using the *Borough Office Post Election Supplies Return Checklist,* verify the contents of the items received.

Step 2. Empty each ED Return Bag one at a time, and be sure that the ED/AD is written on all envelopes inside the bag. *If the ED is missing, fill in the* proper ED on the envelope. Be sure to check off all returned items on the *Borough Office Post Election Supplies Return Checklist (by ED/AD)*.

Step 3. Separate all envelopes into bundles by type. Check that the number of ballots reported to be contained in the Affidavit Transmittal Envelopes and Emergency Transmittal Ballot Envelope has been properly recorded. If the number of ballots has been omitted, note in red “number of ballots missing”. If the number is different from the number recorded on either transmittal envelope note the number found in red pencil on the outside of the envelope and initial by both clerks. Put the number actually found in the log, but indicate an asterisk (*) to note that the number was different from the number recorded by the poll site inspectors. On the back of each Emergency ballot write the ED/AD "E" count the total number of "E" ballots and add to election night log.

Step 4. Count the number of “A” ballots in each ED’s “A” (Affidavit) ballot envelope. Write the total "A" ballots counted on the ED's large “A” ballot envelope. Be sure that the ED/AD is on each envelope. If the number of “A” ballot envelopes is different from the number entered on the Transmittal envelope, note the discrepancy on the Transmittal Envelope. Two clerks from different political parties initial the notation. Draw a line through the incorrect number in red and write the correct number of "A" ballots.

Step 5. Record the number of "A" ballots on the election night log by ED/AD. Add the ED/AD entries to get a grand total. Put the number actually found in the log, but indicate an asterisk (*) to note that the number was different from the number recorded by the poll site inspectors.

Step 6. Count the number of Special ballots in each ED's Special Ballot Transmittal envelope. Write the total Special ballots counted on the ED's ballot transmittal envelope. Be sure that the ED/AD is on each envelope. If the number of Special ballot envelopes is different from the number entered on the Transmittal envelope, note the discrepancy on the Transmittal Envelope. Two clerks from different political parties initial the notation. Draw a line through the incorrect number in red and write the correct number of Special ballots.

Step 7. Record the number of Special Ballot envelopes as **Absentees** on the election night log by ED/AD. Add the ED/AD entries to get a grand total. Write the number of Special Ballot found in the Transmittal Envelope in the log, but indicate an asterisk (*) to note that the number was different from the number recorded by the poll site inspectors.

Step 8. Continue using the Borough Office Post Election Supplies Return Checklist (by ED/AD) to check off the rest of items in the ED Return Bag.

Step 9. Secure un-scanned Emergency, Affidavit and Special ballots in the Secured Storage Area.

Step 10. Open the Grey Transport Bag and ensure all the items listed on the checklist are present.

Step 11. Using the *Borough Office Post Election Supplies Return Checklist (by Poll Site), o*pen the Return of Canvass Envelope (1 per poll site). Locate the scanner Results Tapes and the Return of Canvass Sheet(s) and check the items off on the checklist.

Step 12. Give all return of canvass sheets to Election Returns Supervisor in ED order.

Step 13. Open the Coordinator Return Bag (1 per poll site), and ensure all the items listed on the checklist are present. Check off the items on the checklist as you locate them.

Step 14. The Election Day Operations Unit shall collect all Forms Booklets, Poll Worker Notice to Work envelopes, ADA Journal and Complaint Log, Coordinator Journal and Interpreter Journal, and shall be responsible to locate missing items.

Step 15. At the bottom of each checklist form, ensure to sign and date, as required.

Step 16. Begin the preliminary review procedure on the “A” ballot envelopes.

Step 17. Separate the “A” ballots by categories as per ED prescribed procedures.

Step 18. When all materials are accounted for and documented, store all items, including all tracking receipts and checklists, in Secured Storage.

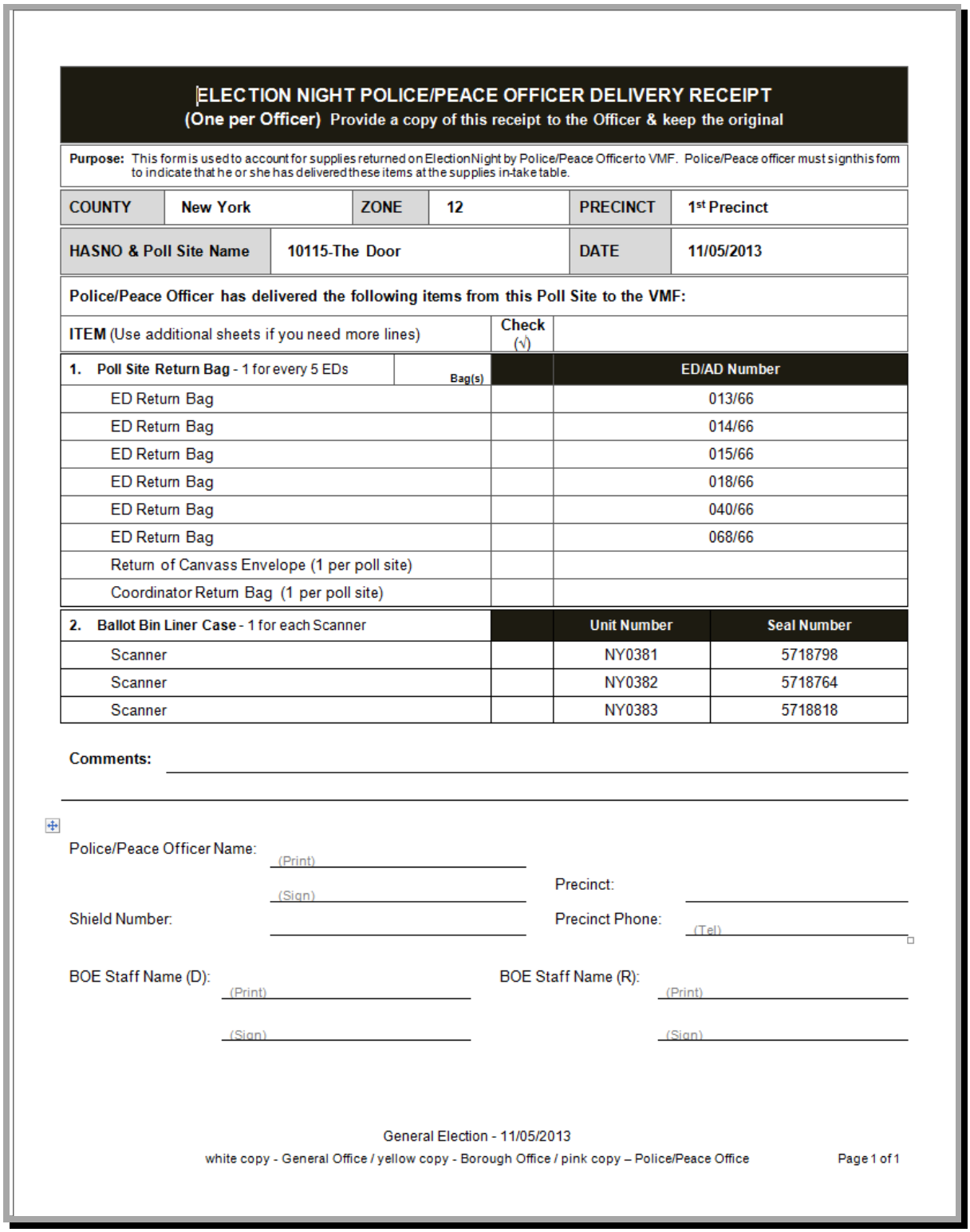
IMPORTANT: Notify the Chief and Deputy Chief Clerk and Lead People immediately if any Ballot Envelopes (such as Affidavit, Emergency, Void, Special Ballot, and excess ballot) are missing. They must assign bi-partisan teams to search for the missing items, which are needed for the re-canvass.

7.6.5 Archiving of Election Materials

All documentation is archived along with the relevant election materials for the given election for a minimum of 24 months.

7.6.6 Forms

See sample forms pre-populated with information specific to each poll site beginning on the next page.



ELECTION NIGHT POLICE/PEACE OFFICER DELIVERY RECEIPT
(One per Officer) Provide a copy of this receipt to the Officer & keep the original

Purpose: This form is used to account for supplies returned on Election Night by Police/Peace Officer to VMF. Police/Peace officer must sign this form to indicate that he or she has delivered these items at the supplies in-take table.

COUNTY	New York	ZONE	12	PRECINCT	1st Precinct
HASNO & Poll Site Name	10115-The Door			DATE	11/05/2013

Police/Peace Officer has delivered the following items from this Poll Site to the VMF:

ITEM (Use additional sheets if you need more lines)	Check (√)	
1. Poll Site Return Bag - 1 for every 5 EDs — Bag(s)		**ED/AD Number**
ED Return Bag		013/66
ED Return Bag		014/66
ED Return Bag		015/66
ED Return Bag		018/66
ED Return Bag		040/66
ED Return Bag		068/66
Return of Canvass Envelope (1 per poll site)		
Coordinator Return Bag (1 per poll site)		

2. Ballot Bin Liner Case - 1 for each Scanner		Unit Number	Seal Number
Scanner		NY0381	5718798
Scanner		NY0382	5718764
Scanner		NY0383	5718818

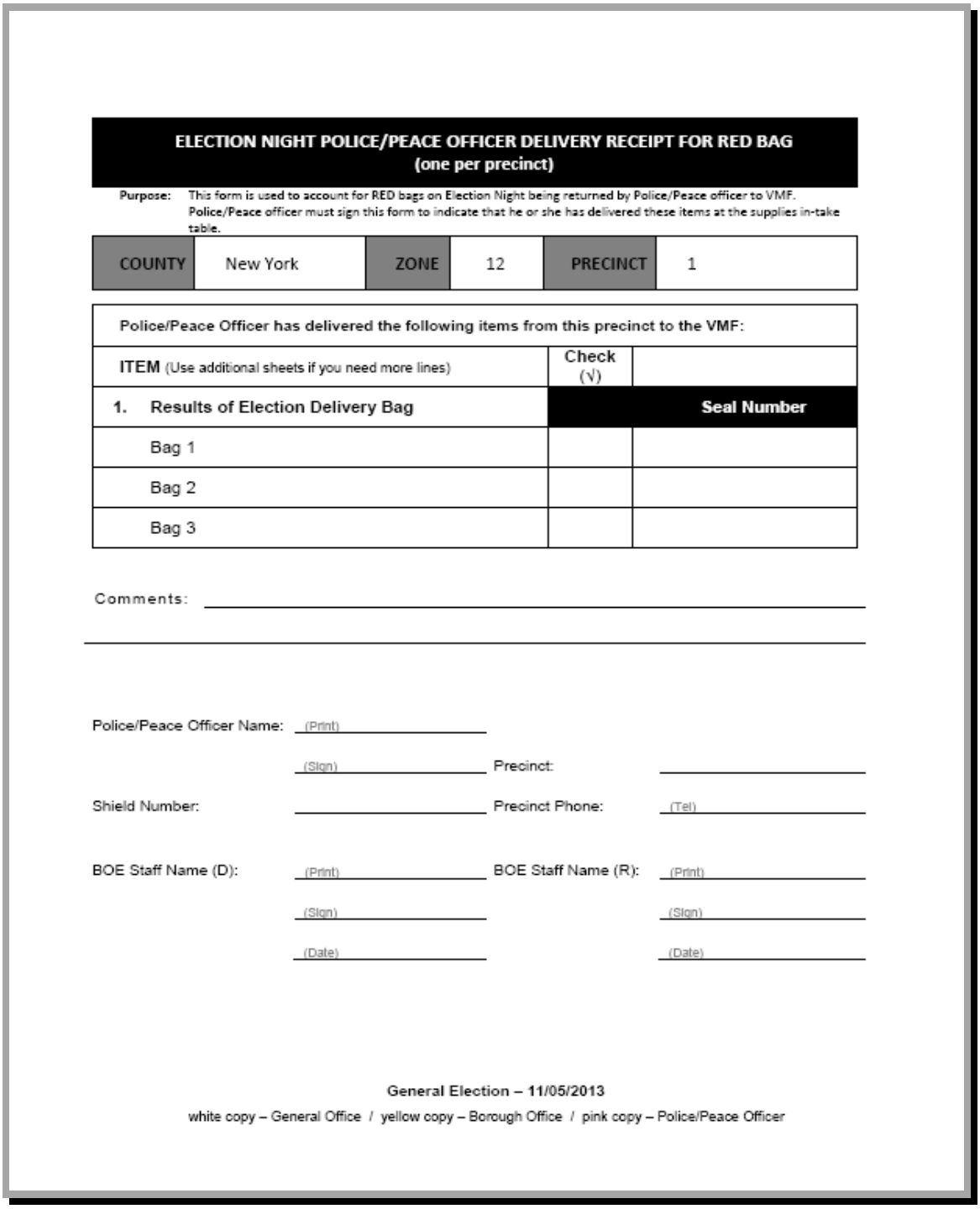
Comments: _____

Police/Peace Officer Name: (Print) _____
(Sign) _____
Shield Number: _____
Precinct: _____
Precinct Phone: (Tel) _____

BOE Staff Name (D): (Print) _____ (Sign) _____
BOE Staff Name (R): (Print) _____ (Sign) _____

General Election - 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy – Police/Peace Office
Page 1 of 1

Figure 1. The Election Night Police/Peace Officer Delivery Receipt



ELECTION NIGHT POLICE/PEACE OFFICER DELIVERY RECEIPT FOR RED BAG
(one per precinct)

Purpose: This form is used to account for RED bags on Election Night being returned by Police/Peace officer to VMF. Police/Peace officer must sign this form to indicate that he or she has delivered these items at the supplies in-take table.

COUNTY	New York	ZONE	12	PRECINCT	1

Police/Peace Officer has delivered the following items from this precinct to the VMF:		
ITEM (Use additional sheets if you need more lines)	Check (√)	
1. Results of Election Delivery Bag		**Seal Number**
Bag 1		
Bag 2		
Bag 3		

Comments: _____

_____

Police/Peace Officer Name: (Print) _____

(Sign) _____ Precinct: _____

Shield Number: _____ Precinct Phone: (Tel) _____

BOE Staff Name (D): (Print) _____ BOE Staff Name (R): (Print) _____

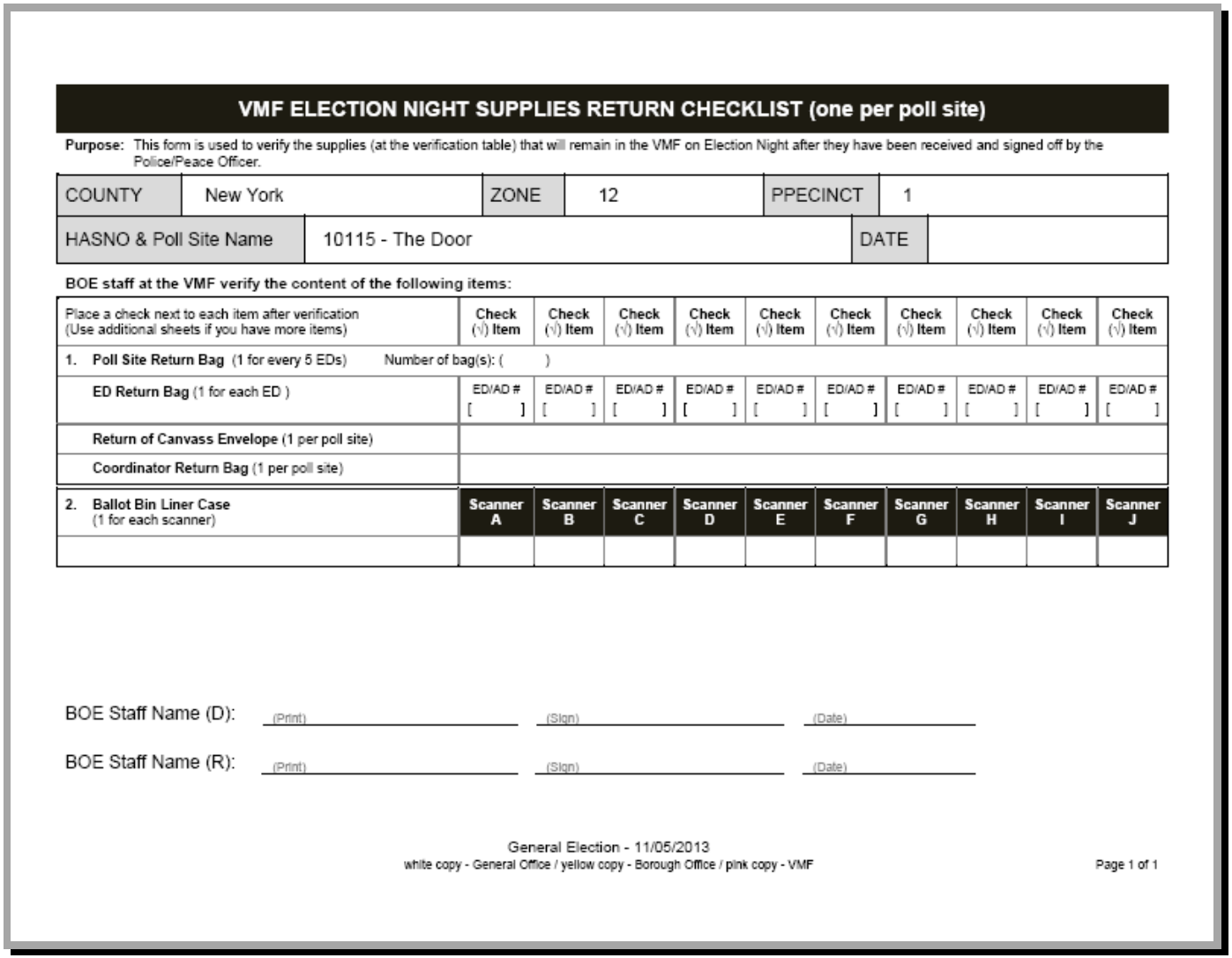
(Sign) _____ (Sign) _____

(Date) _____ (Date) _____

General Election – 11/05/2013

white copy – General Office / yellow copy – Borough Office / pink copy – Police/Peace Officer

Figure 2. The Election Night Police/Peace Officer Delivery Receipt for RED Bag



VMF ELECTION NIGHT SUPPLIES RETURN CHECKLIST (one per poll site)

Purpose: This form is used to verify the supplies (at the verification table) that will remain in the VMF on Election Night after they have been received and signed off by the Police/Peace Officer.

COUNTY	New York	ZONE	12	PPECINCT	1
HASNO & Poll Site Name	10115 - The Door			DATE	

BOE staff at the VMF verify the content of the following items:

Place a check next to each item after verification (Use additional sheets if you have more items)	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item
1. **Poll Site Return Bag** (1 for every 5 EDs) Number of bag(s): ( )										
ED Return Bag (1 for each ED)	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]	ED/AD # [ ]
Return of Canvass Envelope (1 per poll site)										
Coordinator Return Bag (1 per poll site)										
2. **Ballot Bin Liner Case** (1 for each scanner)	**Scanner A**	**Scanner B**	**Scanner C**	**Scanner D**	**Scanner E**	**Scanner F**	**Scanner G**	**Scanner H**	**Scanner I**	**Scanner J**

BOE Staff Name (D): (Print) _____ (Sign) _____ (Date) _____

BOE Staff Name (R): (Print) _____ (Sign) _____ (Date) _____

General Election - 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy - VMF

Page 1 of 1

Figure 3. The VMF Election Night Supplies Return Checklist

VMF ELECTION NIGHT RED BAG CHECKLIST
(one per precinct)

Purpose: This form is used to verify the Scanner Voting Records (SVR) bags that will remain in the VMF on Election Night after they have been received and signed off by the Police/Peace Officer.

COUNTY	New York	ZONE	12	PRECINCT	1

	Pollsite HASNO #	Pollsite Name	SVR Bag (√)	Seal Number	ENR Form (√)
1	10115	The Door			
2	10222	PS 234 (Independence)			
3	10516	St Anthony's Church			
4	10577	PS 89			
5	10611	HS For Leadership			
6	10657	Residential Building			
7	10659	The Regatta			
8	10716	CWA - 1180			
9	11225	PS 276			
10	11255	UASBYW			
11	M0187	Tweed Court			
12	M0244	St Margaret's House			
13	M0282	Southbridge Tower			
14					
15					
16					
17					
18					
19					
20					
21					
22					
23					
24					
25					

BOE Staff Name (D): (Print) _____ BOE Staff Name (R): (Print) _____

(Sign) _____ (Sign) _____

(Date) _____ (Date) _____

General Election – 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy - VMF

Figure 4. The VMF Electon Night RED Bag Checklist

VMF ELECTION NIGHT SVR BAG RETURN CHECKLIST (one per poll site)

Purpose: This form is used to verify the supplies (at the verification table) that will remain in the VMF on Election Night.

COUNTY	New York	ZONE	12	PPECINCT	1
HASNO & Poll Site Name	10115 - The Door			DATE	

BOE staff at the VMF verify the content of the following items:

Place a check next to each item after verification (Use additional sheets if you have more items)	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item	Check (√) Item
1. **Yellow Large Scanner Voting Records Bag** 1 for each poll site, which contains:	**Scanner A**	**Scanner B**	**Scanner C**	**Scanner D**	**Scanner E**	**Scanner F**	**Scanner G**	**Scanner H**	**Scanner I**	**Scanner J**
Yellow Small Scanner Voting Records Pouch 1 for each scanner, which contains:										
One complete Zero Report tape from scanner										
One sealed Zip Lock bag containing one PMD										

BOE Staff Name (D): (Print) _____ (Sign) _____ (Date) _____

BOE Staff Name (R): (Print) _____ (Sign) _____ (Date) _____

General Election - 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy - VMF

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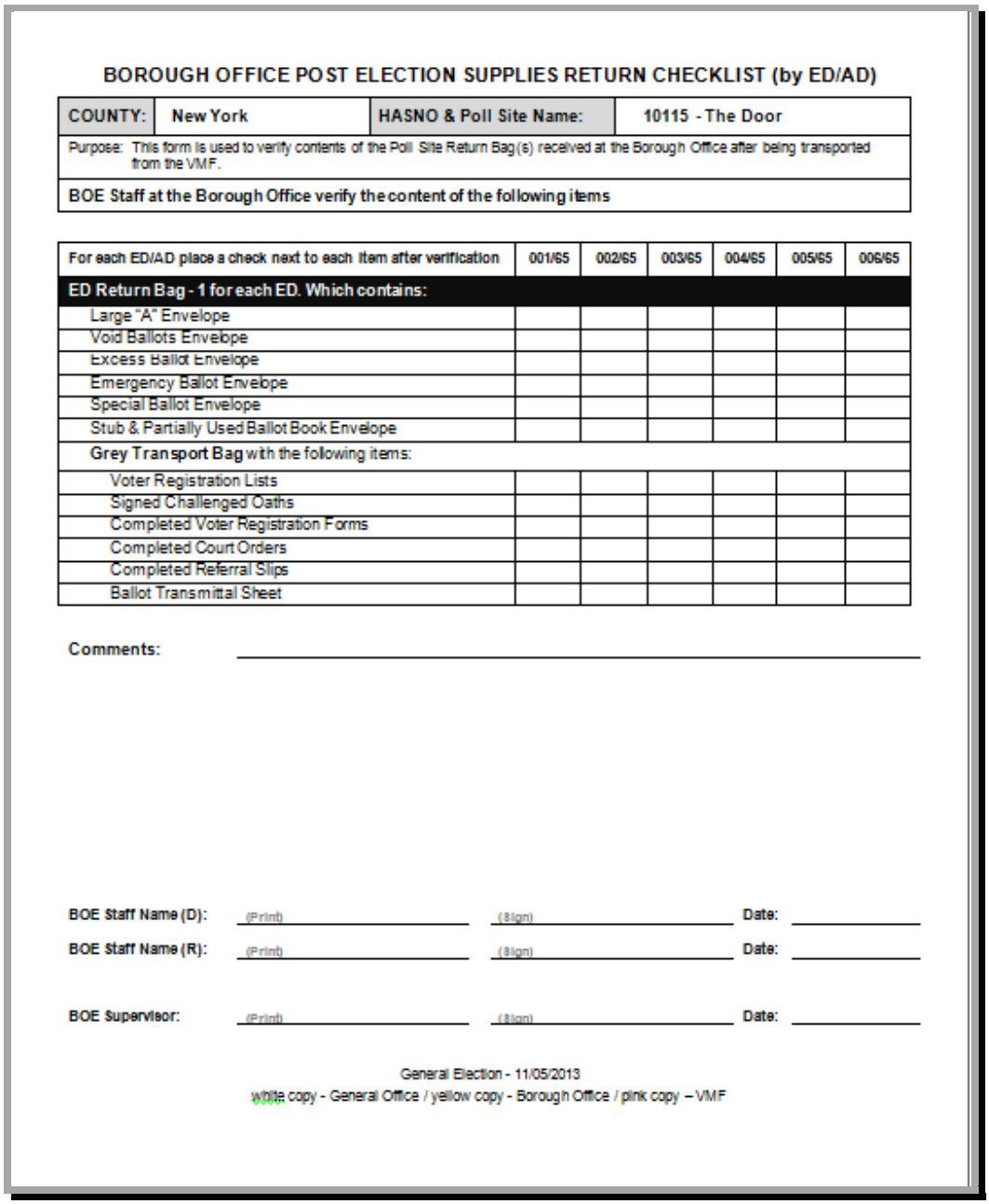
Figure 5. The VMF Election Night SVR Bag Return Checklist



BOROUGH OFFICE POST ELECTION SUPPLIES RETURN CHECKLIST (by ED/AD)

COUNTY:	New York	HASNO & Poll Site Name:	10115 - The Door

Purpose: This form is used to verify contents of the Poll Site Return Bag(s) received at the Borough Office after being transported from the VMF.

BOE Staff at the Borough Office verify the content of the following items

For each ED/AD place a check next to each item after verification	001/65	002/65	003/65	004/65	005/65	006/65
ED Return Bag - 1 for each ED. Which contains:						
Large "A" Envelope						
Void Ballots Envelope						
Excess Ballot Envelope						
Emergency Ballot Envelope						
Special Ballot Envelope						
Stub & Partially Used Ballot Book Envelope						
Grey Transport Bag with the following items:						
Voter Registration Lists						
Signed Challenged Oaths						
Completed Voter Registration Forms						
Completed Court Orders						
Completed Referral Slips						
Ballot Transmittal Sheet						

Comments: _____

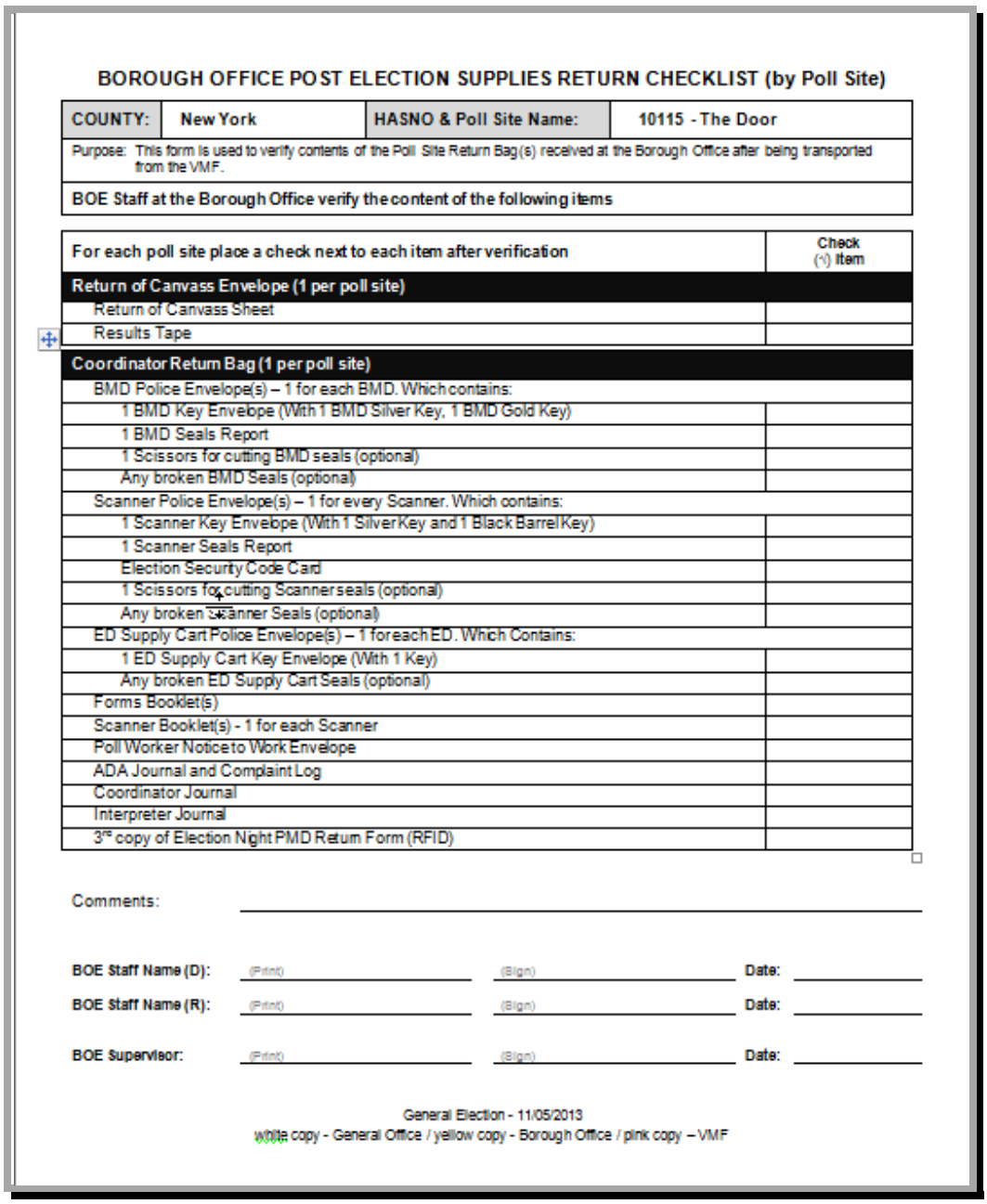
BOE Staff Name (D): (Print) _____ (Sign) _____ **Date:** _____

BOE Staff Name (R): (Print) _____ (Sign) _____ **Date:** _____

BOE Supervisor: (Print) _____ (Sign) _____ **Date:** _____

General Election - 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy – VMF

Figure 6. The Borough Office Return Checklist by ED/AD



BOROUGH OFFICE POST ELECTION SUPPLIES RETURN CHECKLIST (by Poll Site)

COUNTY:	New York	HASNO & Poll Site Name:	10115 - The Door

Purpose: This form is used to verify contents of the Poll Site Return Bag(s) received at the Borough Office after being transported from the VMF.

BOE Staff at the Borough Office verify the content of the following items

For each poll site place a check next to each item after verification	Check (√) Item
Return of Canvass Envelope (1 per poll site)	
Return of Canvass Sheet	
Results Tape	
Coordinator Return Bag (1 per poll site)	
BMD Police Envelope(s) – 1 for each BMD. Which contains:	
1 BMD Key Envelope (With 1 BMD Silver Key, 1 BMD Gold Key)	
1 BMD Seals Report	
1 Scissors for cutting BMD seals (optional)	
Any broken BMD Seals (optional)	
Scanner Police Envelope(s) – 1 for every Scanner. Which contains:	
1 Scanner Key Envelope (With 1 Silver Key and 1 Black Barrel Key)	
1 Scanner Seals Report	
Election Security Code Card	
1 Scissors for cutting Scanner seals (optional)	
Any broken Scanner Seals (optional)	
ED Supply Cart Police Envelope(s) – 1 for each ED. Which Contains:	
1 ED Supply Cart Key Envelope (With 1 Key)	
Any broken ED Supply Cart Seals (optional)	
Forms Booklet(s)	
Scanner Booklet(s) - 1 for each Scanner	
Poll Worker Notice to Work Envelope	
ADA Journal and Complaint Log	
Coordinator Journal	
Interpreter Journal	
3rd copy of Election Night PMD Return Form (RFID)	

Comments: _____

BOE Staff Name (D): (Print) _____ (Sign) _____ **Date:** _____

BOE Staff Name (R): (Print) _____ (Sign) _____ **Date:** _____

BOE Supervisor: (Print) _____ (Sign) _____ **Date:** _____

General Election - 11/05/2013
white copy - General Office / yellow copy - Borough Office / pink copy – VMF

Figure 7. The Borough Office Return Checklist by Poll Site

8.0 RECEIVE UNOFFICIAL ELECTION NIGHT RESULTS

8.1 Purpose and Requirements

At the close of the polls on Election Night, materials used at all poll sites accompanied by an *Election Night PMD Return Form* are packaged and sealed according to the Board's established poll worker procedures. The materials are given to a designated Police Officer. The Police Officer transfers the materials to an NYPD detail, which then transports them to the Police Precincts that same night. Bi-partisan teams of Board personnel receive the materials at each Precinct.

The materials received, which include the Portable Memory Devices (PMDs) used in the Poll site Voting System on Election Day, are tracked using Radio-frequency identification (RFID) equipment and are routed to another bi-partisan team of Board staff, where the unofficial results of the PMDs are read into Election Night Results (ENR) laptops. When the reading process is complete, the materials are re-sealed. At the end of the process, the bi-partisan team returns the Election materials to the NYPD. NYPD then transports the materials to the Board's Voting Machine Facilities (VMF).

The ENR Laptops transmit the unofficial election results to an SFTP (Secure File Transfer Protocol) Server at the General Office. ERM (Election Reporting Manager) Servers at the General Office read the unofficial results from the SFTP Server. At periodic intervals throughout election night, the unofficial results are electronically transferred to the Board's web site, the State Board of Elections, the Board's election management system and the Media.

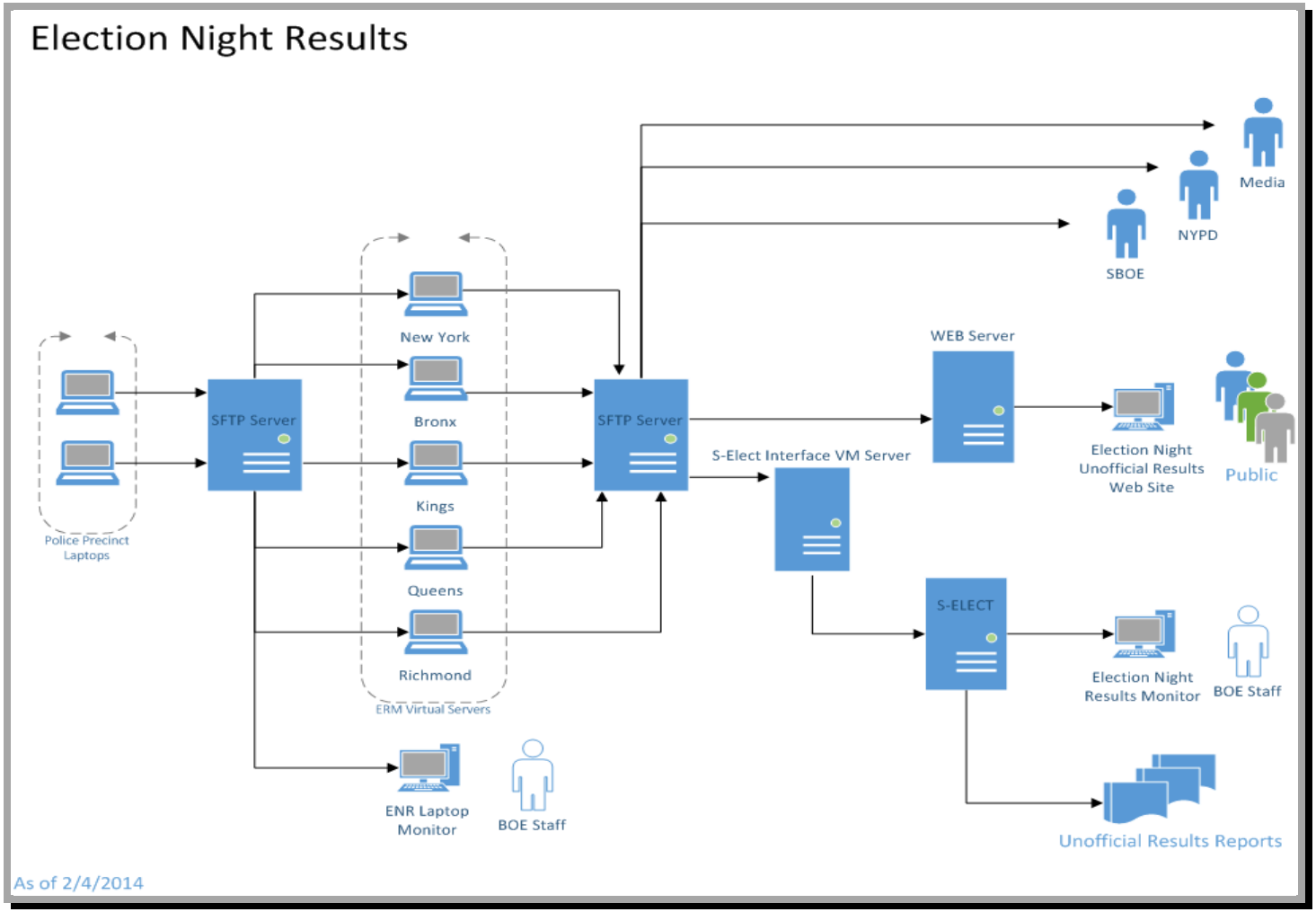
The purpose of this section is to provide detailed instructions for receiving unofficial results on election night at the General Office. The performance of these tasks will achieve the following:

- Allow the timely reporting of unofficial results
- Allow for increased accuracy in the reporting of unofficial results
- Provide the Results
- Provide results to the public and all other sources, as mandated by law.

Receive Unofficial Election Night Results **Requirements:**

- Portable Memory Devices (PMDs) are available for reporting Unofficial Election Night Results
- BOE official website for Unofficial Election Night Results is functional for the publishing of results

8.2 Receive Unofficial Election Night Results Process Flow



8.3 Space and Physical Resources

- EVS SFTP Server
- EVS ENR Web Server
- ENR Laptops
- VM Server
- ERM Virtual Servers
- S-Elect Interface Virtual Server
- S-Elect
- Internet Connection

8.4 Responsible Personnel

Role	Responsibility
Board EVS staff	▪ Setup of ERM Virtual Servers ▪ Setup of ENR Web Server ▪ Setup of SFTP Server ▪ Setup of ENR Laptops ▪ Setup of S-Elect Interface Virtual Servers ▪ Setup Internet Connection
Board MIS staff	▪ S-Elect database

8.5 Detailed Procedures

8.5.1 ENR Laptops

EVS STAFF:

Step 1. Setup and test ENR Laptops.

Step 2. Monitor ENR Laptops on Election Night.

VEOU STAFF:

Step 1. Transfer ENR Laptops to the designated Board facility.

Step 2. Place the ENR laptops assigned to each Police Precinct into the ENR cart for that Precinct.

8.5.2 ENR Web and SFTP Servers

EVS STAFF:

Step 1. Ensure that the web server is running correctly.

Step 2. Ensure that the SFTP server is running correctly.

8.5.3 ERM Virtual Server

Step 1. Set up the ERM virtual servers with the ERM keys for the election.

Step 2. Start the ERM software for each borough before 9PM on Election night.

Step 3. Print “Zero” Summary Report for each borough.

Step 4. Start the import of results data process.

Step 5. Stop the import of results data process when the last results are processed.

Step 6. Process “Final” XML file and transfer it to the SFTP server.

Step 7. Print Summary Report for each borough.

8.5.4 S-Elect

MIS STAFF:

When the last results are processed, print import confirmation report.

8.5.5 Confirm Import into S-Elect of the Unofficial Election Night Results

EVS STAFF:

Step 1. Compare the S-Elect import confirmation report to the ERM summary report for each borough.

Step 2. Ensure the results on both reports match.

8.6 Pre-Election System Test

Step 1. Setup required systems. See Space and Physical Resources section for list of systems.

Step 2. Create test PMD data for boroughs to be tested.

Step 3. Using one ENR laptop per borough, transmit test PMD data to SFTP server.

Step 4. Process PMD data following steps in 8.5 Detailed Procedures.

9.0 READ PORTABLE MEMORY DEVICES (PMDS)

9.1 Purpose and Requirements

At every poll site on Election Day, each scanner has a unique PMD that is delivered back to each borough office for processing. The PMDs are read into the Election Management System (EMS) in order to obtain the results in a digital format. This process commences at a time designated by the Chief and Deputy in each borough, but must be completed prior to the review of write-in ballot images and the re-canvass of poll site ballots. Bi-partisan teams of Board personnel read the PMDs in a secure environment. The movement of all PMDs is documented. Receipts are completed for each transfer and the PMDs are placed in secured storage.

As enumerated in NYS Election Law Section 9-209 (1):

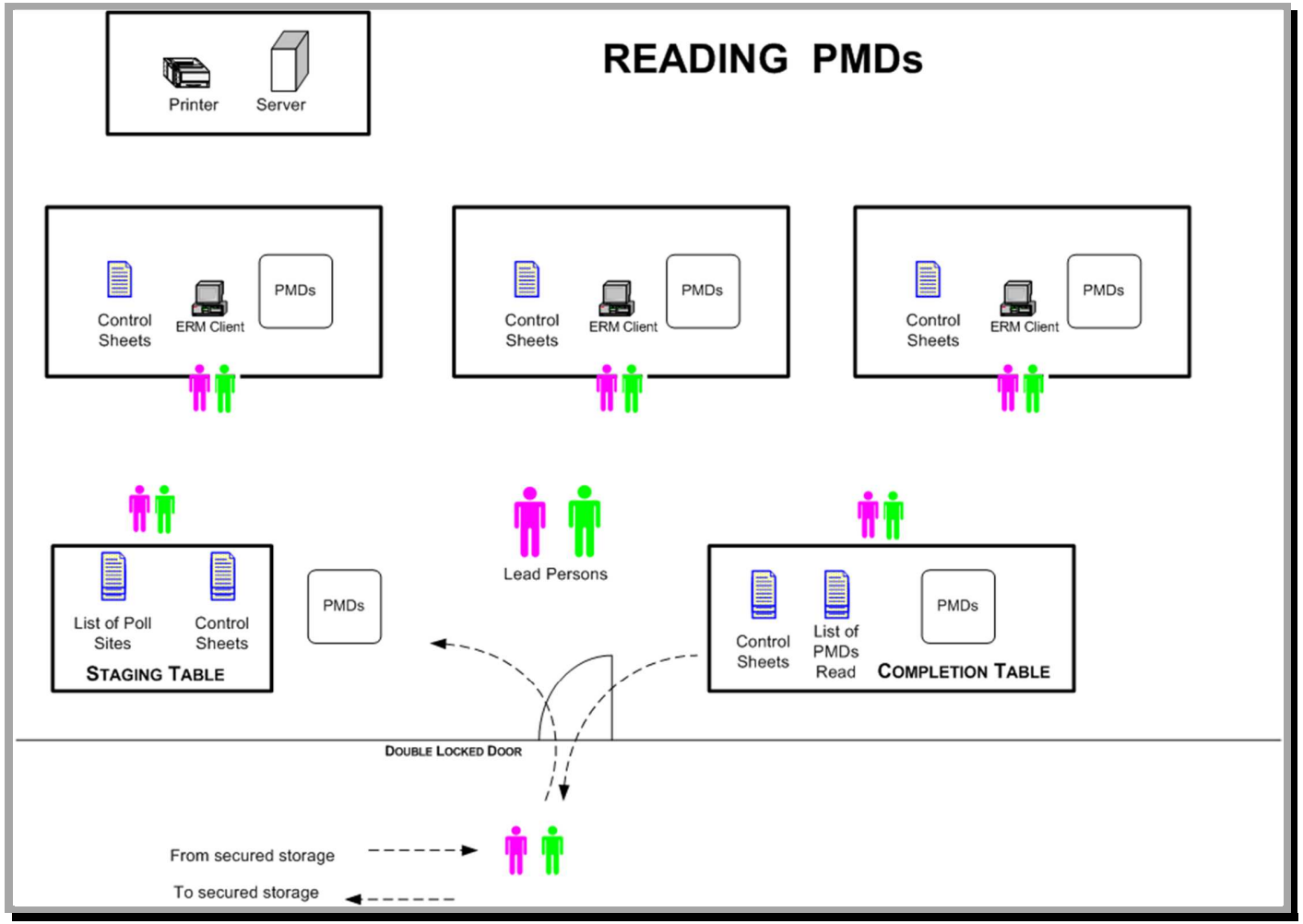
> *"b. At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act."*

The purpose of this section is to provide detailed procedures for reading the portable memory devices (PMDs) that arrive at borough facilities inside the poll site scanners.

Read Portable Memory Devices (PMDs) **Requirements**

- All PMDs are read by bi-partisan teams.
- MIS will create the PMD Results Log Sheet and the PMD Results Control Sheet.
- Lead People will handle any problems or exceptions.
- All scanners have returned from the poll sites.

9.2 Read Portable Memory Devices (PMDs) Space and Physical Resources



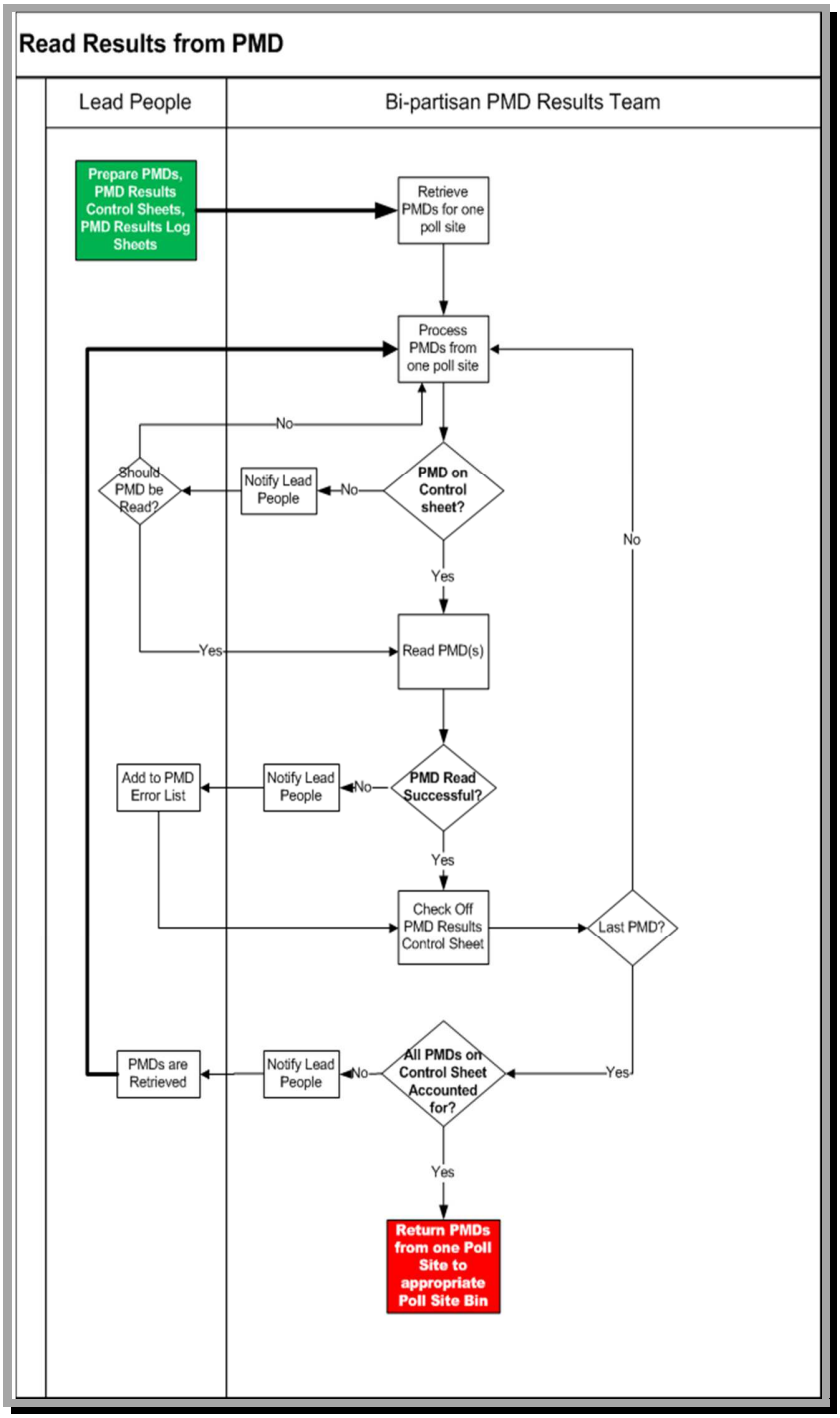
9.3 Responsible Personnel

Role	Responsibility
Bi-partisan Team of Lead People	▪ Supervise PMD Reading Process ▪ Resolve Issues ▪ Generate Results Report and Results File
Bi-partisan PMD Results Team	▪ Read PMD Results ▪ Track PMDs
Electronic Voting Systems (EVS) Department	▪ Support PMD Read process by having staff onsite at boroughs. ▪ Support Lead People if manually entering results. ▪ Receive Results Report and Results File
Voting Machine Facility (VMF) Staff	▪ Retrieve Backup PMD

9.4 Chain of Custody Tracking and Documentation

Any materials checked into or out of secured storage must be documented on a tracking sheet as provided in *Section* 6.0 Tracking Procedures for Canvass Election Materials.

9.5 Read Portable Memory Devices (PMDs) Overall Process Flow



9.6 Detailed Procedures

9.6.1 Retrieve Backup PMDs

BI-PARTISAN TEAM OF VOTING MACHINE TECHNICIANS (VMTs):

Step 1. Break the seal on the small Backup door and remove Backup PMD from each scanner.

Step 2. Package all PMDs for each poll site in an anti-static bag.

Step 3. Sign and seal each poll site anti-static bag.

Step 4. Deliver all anti-static bags to Lead People.

9.6.2 Process Backup PMD

BI-PARTISAN TEAM OF LEAD PEOPLE:

Distribute PMDs one Poll Site at a time to the PMD Results Team.

BI-PARTISAN PMD RESULTS TEAM:

Working with one PMD at a time:

Step 1. Check off the “Located” box for that PMD on the PMD Results Control Sheet. If PMD external ID is NOT on Control Sheet, stop and notify Lead People. Lead people determine if PMD should be read.

Step 2. Connect PMD to USB port on the workstation. Activate EMS. Make sure that EMS reads and processes PMD. Check off the “Read” box for that PMD on the PMD Results Control Sheet.

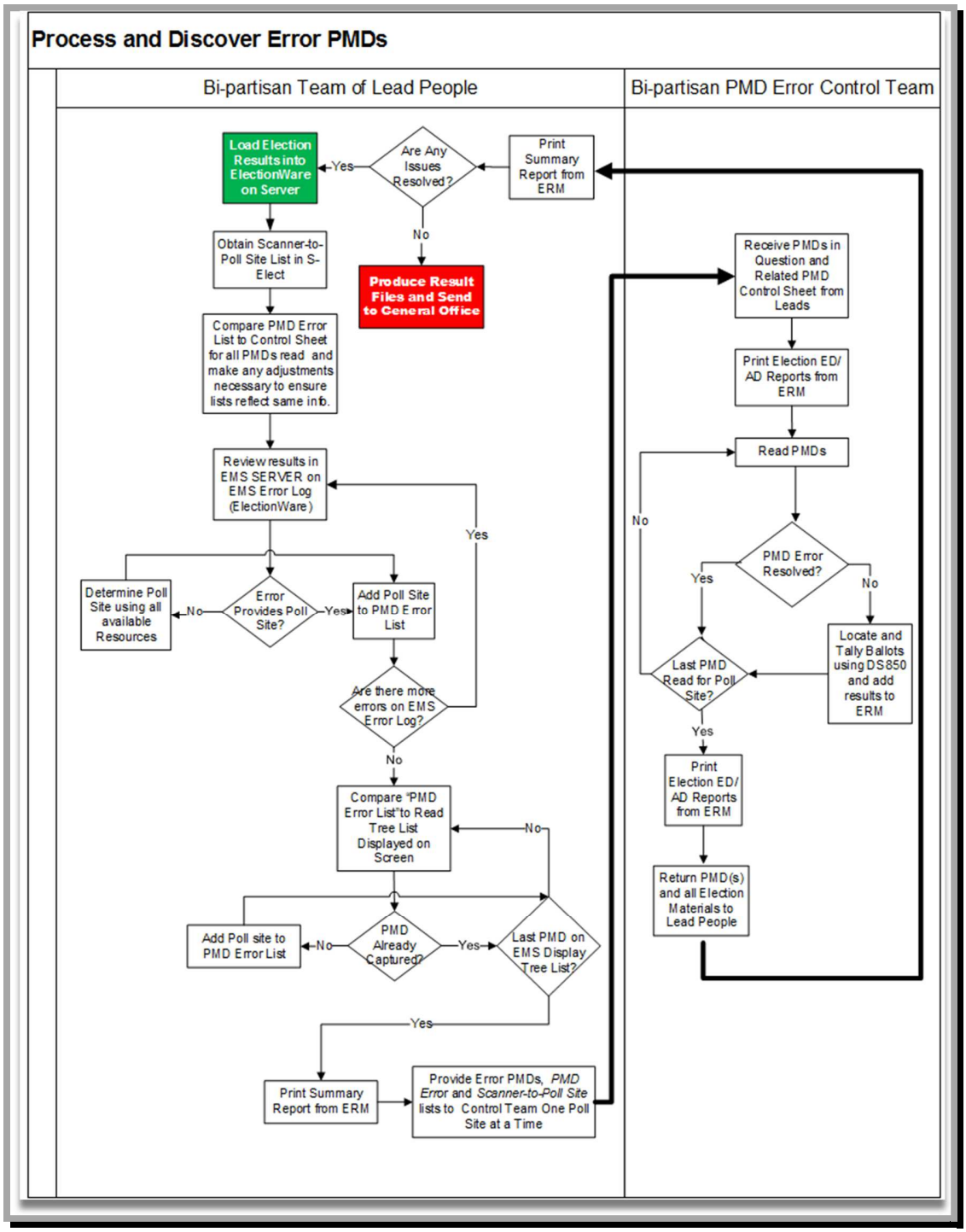
IMPORTANT: If a PMD generates an error, note error in *Comments* section of *PMD Results Control sheet*. Notify Lead People immediately.

Lead People immediately make a note of the error in the *PMD Error Log*.

Step 3. Repeat the process for all PMDs from that poll site.

Step 4. Return PMDs from the poll site to Lead Person.

9.7 Process and Discover Error PMDs Process Flow


Process and Discover Error PMDs
Bi-partisan Team of Lead People
Bi-partisan PMD Error Control Team
Load Election Results into ElectionWare on Server
Are Any Issues Resolved?
Yes
No
Print Summary Report from ERM
Produce Result Files and Send to General Office
Obtain Scanner-to-Poll Site List in S-Elect
Compare PMD Error List to Control Sheet for all PMDs read and make any adjustments necessary to ensure lists reflect same info.
Review results in EMS SERVER on EMS Error Log (ElectionWare)
Yes
Determine Poll Site using all available Resources
No
Error Provides Poll Site?
Yes
Add Poll Site to PMD Error List
Are there more errors on EMS Error Log?
No
Compare "PMD Error List" to Read Tree List Displayed on Screen
No
Add Poll site to PMD Error List
No
PMD Already Captured?
Yes
Last PMD on EMS Display Tree List?
Yes
Print Summary Report from ERM
Provide Error PMDs, PMD Error and Scanner-to-Poll Site lists to Control Team One Poll Site at a Time
Receive PMDs in Question and Related PMD Control Sheet from Leads
Print Election ED/AD Reports from ERM
Read PMDs
No
PMD Error Resolved?
Yes
No
Locate and Tally Ballots using DS850 and add results to ERM
Last PMD Read for Poll Site?
Yes
Print Election ED/AD Reports from ERM
Return PMD(s) and all Election Materials to Lead People

BI-PARTISAN TEAM OF LEAD PEOPLE:

9.8 Processing Error PMD(s)

Step 1. Use ElectionWare to load the ballot image results acquired from reading the PMD's in ERM.

Step 2. Obtain a report from S-Elect listing the zones, poll sites within a zone, scanners to a poll site, and ED/AD's associated to that poll site.

Step 3. Once the server has completed loading the results, capture any error displayed on the screen and add it to the *PMD Error Log*.

Step 4. Each error should display a poll site name, internal number, and error description. If the error is generic and non descriptive, use FLEET and/or any resource at your disposal to discover the poll site of the PMD and add the poll site to the *PMD Error Log*.

Step 5. Expand the Election Day "folder tree list" (see EMS help for more details) to display a list of poll sites located to the left of the Load Results and Error Log pane. Expand each poll site tree that has a multi-colored circle to expose the media read for the poll site. Each PMD (media-x) read successfully will display a green check mark next to it. Each PMD (media-x) that was not read will display a gray flag..

Step 6. If a poll site displays a multi-colored circle, check *PMD Error Log* to see if PMD(s) was not captured due to a PMD error. If *PMD Error Log* does not produce the answer, check the *Poll Site-to-Scanner list* to verify the number of PMD's burned for that poll site. Another possibility in discovering a missing PMD is to refer to the *Scanner Replacement List*. Exhaust all other resources to account for any missing PMD's.

Step 7. If a poll site displays all green check marks, collapse the tree for the poll site and move on to the next poll site.

Step 8. Repeat for all poll sites on the *Read Tree List*.

Step 9. Print a *Summary Report* from Election Reporting Manager (ERM).

Step 10. Distribute Error PMD's one poll site at a time with the associated control sheets, *Scanner to Poll Site List*, and *PMD Error Log* to bi-partisan team.

BI-PARTISAN TEAM

Step 1. Print ED/AD report from ERM: Print the ED/AD level report from ERM for the associated poll site.

Step 2. Compare *PMD Error Log* to Control sheets: Compare the PMD errors listed on the control sheet to the *PMD errors Log* to ensure the log and list reflect the same information.

Step 3. Read all PMD's from the poll site one at a time beginning with the first scanner letter. See table below for possible scenarios:

PMD Error Scenarios	Remedy
If the PMD returns an existing error originally captured in the reading pass	Notify the Lead People. Select a bi-partisan team to re-canvass the ballots from the scanner using the DS850 Central Scanner and produce a results PMD. Read the results PMD into ERM. Document the action in the PMD Results Control sheet.
If the PMD returns a new error	Have the other member of the bi-partisan team re-read the PMD to verify the error. Notify the Lead People. Select a bi-partisan team to re-canvass the ballots from the scanner using the DS850 and produce a results PMD. Read the results PMD into ERM. Document the action in the PMD Results Control sheet.
If the PMD returns an "All ready processed" error	Select the "No" button and process the next PMD.
If an Error PMD is resolved	Document action in *PMD Results Control Sheet* and process the next PMD.

Step 4. Repeat for all PMD within a poll site.

Step 5. Print the ED/AD level report from ERM for the associated poll site.

Step 6. Return PMDs and all election materials to Lead People.

BI-PARTISAN TEAM OF LEAD PEOPLE

Print the ERM Summary Report.

IMPORTANT: If any issues were resolved during the PMD error read process, repeat all steps from section 9.8, beginning with Step 1. As errors in poll sites are corrected, collapse the poll site on the poll site read tree list. If there are no more issues to resolve: Produce results files and send them to the General Office.

NOTE: See EMS Instructions to prepare ERM export

9.9 PMD Error Messages, Explanations, and Corrective Actions

Error Message	Description	Remedy
File decryption failed.	The wrong election OR wrong EQC code was used.	Restart Election Results Manager (ERM) and enter correct EQC code for a given election.
This data has already been collected.	PMD was already read into the EMS.	Answer No to this question.
Do you want to overwrite the existing data?	PMD was already read into the EMS.	Answer No to this question.
Media does NOT contain collection data	PMD was pulled out of the scanner too soon to collect results. Backup PMD will also be blank because data was not copied to it.	Tally ballots during § 9.8 - Processing Error PMDs
Valid Media Not Found	PMD was pulled out of the scanner too soon to collect results. Backup PMD will also be blank because data was not copied to it.	Tally ballots during § 9.8 - Processing Error PMDs
Timestamp Error	PMD written after EQC was created.	Answer “Update Timestamp” and continue reading PMDs.
No Ballots Cast	No results on PMD.	Answer “Use Results” and continue reading PMDs.
User did not replace collection data.	Informational message.	Press OK to exit.
A general system error has occurred. Contact your election Administrator for guidance.	Administrator access level is required to resolve error.	Notify EVS.
Parse error in poll place results.xml	Administrator access level is required to resolve error.	Notify EVS.

9.9.1 Forms

See sample forms pre-populated with information specific to each poll site beginning on next page.

The PMD Results Log Sheet is used as an audit trail to track the PMDs for the PMD reading procedure.

PMD Results Log Sheet
General Election
11/5/2013
New York

Poll Site ID: 00028
Poll Site Zone: 01
Poll Site Name: PS 52
Poll Site Address: 650 Academy Street
Number of Scanners at Poll Site: 5
Assigned PMDs:

Internal: 07A5061313BD External: BOE201013028	Internal: 07A5061314ED External: BOE201013031	Internal: 07A506131545 External: BOE201013034
Internal: 07A50613151A External: BOE201013037	Internal: 07A50613144C External: BOE201013040	

Date/Time Checked Out:	
Date/Time Returned:	

Comments

Democratic Name:		
Democratic Signature:		Date: _____
Republican Name:		
Republican Signature:		Date: _____

Lead People Initials (Checked out □)	**Lead People Initials (Returned □)**

Figure 8. The Portable Memory Device (PMD) Results Log Sheet

The PMD Results Control Sheet is used to track the PMDs within an entire poll site and ensure that all PMDs have been accounted for during the reading of the PMDs.

PMD Results Control Sheet
General Election
11/5/2013
New York

Poll Site ID: 00028
Poll Site Zone: 01
Poll Site Name: PS 52
Poll Site Address: 650 Academy Street
Number of Scanners at Poll Site: 5 **Page 1 of 2 for this Poll Site**

Date/Time:	

PMD ID	Located	Read	Comments
Internal 07A5061313BD External BOE201013028	☐	☐	
Internal 07A5061314ED External BOE201013031	☐	☐	
Internal 07A506131545 External BOE201013034	☐	☐	
Internal 07A50613151A External BOE201013037	☐	☐	

Comments

Democratic Name:		
Democratic Signature:		Date:
Republican Name:		
Republican Signature:		Date:

Figure 9. The Portable Memory Device (PMD) Results Control Sheet

9.10 Archiving of Election Materials

All documentation is archived along with the relevant election materials for the given election for a minimum of 24 months.

PMD Error Log Sheet
Election Event Name
Election Date
Borough

DEM: _____
Signature

REP: _____
Signature

Zone	Poll Site	ED/AD	Scanner Letter	Ext. #	Int. #	Error Description	Resolution

Figure 10. The Portable Memory Device (PMD) Error Log List

10.0 RECORD WRITE-IN NAMES FROM POLL SITE BALLOTS

10.1 Purpose and Assumptions

All ballot file images are stored for review by the Board of Elections as described in the detailed procedure below. The names are recorded onto Write-in Forms with all relevant information. The forms are then forwarded for entry of the Board-approved Write-in names into the S-Elect system. The movement of all materials is documented, receipts are completed and the Write-in forms are archived in the secured storage area.

As enumerated in NYS Election Law Section 9-209 (1):

> *"b. At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act."*

The purpose of this section is to provide detailed procedures for capturing Write-in names shown in ballot file images from the Portable Memory Devices (PMDs) used in an election.

Record Write-in Names from Poll site Ballots Assumptions

- The Election Management System (EMS) is configured to allow the filtering of ballots with markings located anywhere within the designated Write-in area.
- All write-in ballots are reviewed electronically by bi-partisan Board staff.
- If there is any question of voter intent, the paper ballot is located and verified.
- Ballots used to physically review a Write-in are un-sealed and re-sealed by bi-partisan Board staff using the authorized tracking procedure.
- Pink Write-in sheets are available to record the Write-ins.
- Each ballot that contains a Write-in vote is assigned one pink Write-in sheet.
- Ballots are sorted electronically by poll site in the EMS prior to the beginning of Write-in validation.
- Ballot Bin Liner Cases are available for the location of ballots with Write-ins.

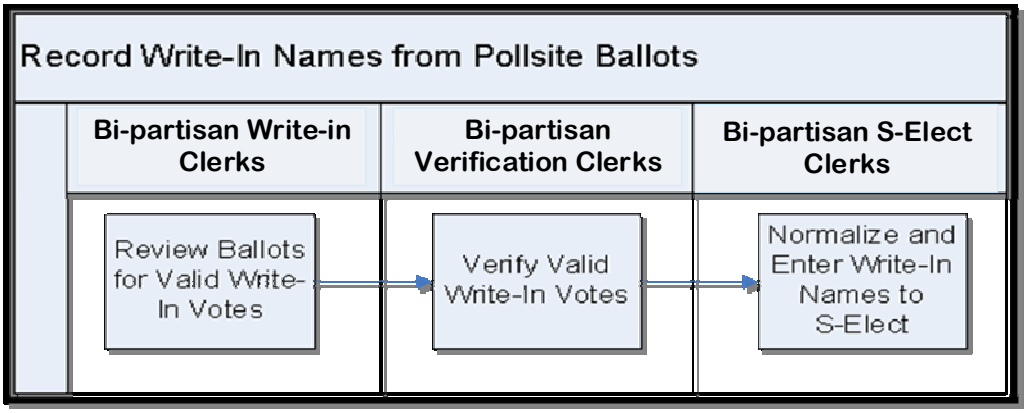
10.2 Space and Physical Resources

The Record Write-in Names from Poll site Ballots process takes place after the PMDs are read in the designated EMS location chosen by the Chief and Deputy of each borough. This location contains EMS workstations for viewing the ballot images and sufficient space for the bi-partisan team of Board staff to review the files and complete the Write-in forms when any Write-in vote is recorded.

10.3 Responsible Personnel

Role	Responsibility
Bi-partisan Teams of Lead People	▪ Responsible for the oversight of recording the Write-in process ▪ Responsible for coordinating and managing the process of providing the appropriate materials to Write-in and Verification Clerks
Bi-partisan Teams of Write-in Clerks	▪ Responsible for capturing the first pass of Write-in totals and providing the results to the Verification Clerks
Bi-partisan Teams of Verification Clerks	▪ Responsible for auditing the Write-in totals and identifying discrepancies, if any
Bi-partisan Teams of S-Elect Clerks	▪ Responsible for entering Write-in results into the S-Elect system

10.4 Record Write-in Names from Poll site Ballots Process Flow


Record Write-In Names from Pollsite Ballots
Bi-partisan Write-in Clerks
Bi-partisan Verification Clerks
Bi-partisan S-Elect Clerks
Review Ballots for Valid Write-In Votes
Verify Valid Write-In Votes
Normalize and Enter Write-In Names to S-Elect

BI-PARTISAN TEAMS OF LEAD PEOPLE:

10.5 Lead People Responsibilities

- Set up the EMS to view only Write-in ballots using the Write-in filter (see EMS instructions for details).
- Ensure all Write-in supplies are present including the appropriate pink scanner Write-in sheets
- Supervise the Write-in capturing process and ensure compliance with the Board issued procedures.
- Ensure staff is trained on Write-in capturing technique and reads all relevant procedures and instructions for the Write-in process.
- Ensure all bi-partisan staffing requirements are met.
- Resolve or escalate issues that occur during Write-in capture process.
- Distribute workload to available teams.

BI-PARTISAN TEAMS OF WRITE-IN CLERKS:

10.6 Detailed Procedures

10.7 Review Ballots for Valid Write-in Votes

Step 1. Beginning with the first ballot from the first ED/AD within the first poll site, review every contest for Write-in votes.

Step 2. When a Write-in vote is found, follow the established rules for Write-ins to ensure it is valid for the contest and complete the pink Write-in form.

IMPORTANT: On the pink Write-in form, ensure to record the entire *Ballot Image File Name*, including any preceding zeroes.

NOTE: To determine the number of possible valid votes in the contest, look at the voting instructions. If there is only one vote expected, the number of possible valid votes for the contest is one (1). If the contest is a "vote for x," the number of possible valid votes is equal to the "vote for x" number given in the instructions.

Step 1. For any valid Write-in names, record the HASNO #, ED/AD, party (Primary elections only), image filename, office, and Write-in name on the pink Write-in sheet. Take care to record the name **exactly** as it appears on the ballot on a new pink Write-in sheet for the ballot. Decisions regarding the normalization of names will be made later in the process by Board staff who enter the Write-in names into the S-Elect system.

Step 2. If ballot images are unavailable in the EMS, open the Ballot Bin Liner Case and review the paper ballots for Write-ins. Using the authorized tracking procedure, a bi-partisan team of Board staff unseal and re-seal the ballot bin liner case.

Step 3. Once all the Write-ins on a single ballot are reviewed and validated, (both Write-in clerks) sign the form verifying the Write-in votes recorded for that ballot.

Step 4. Place the pink sheet for that ballot face down in a stack of "completed" pink sheets and continue reviewing the remaining ballots from the scanner. Take care to ensure the pink sheets are kept in the order that they were found so that when the verification tasks are completed, the Write-in votes are found in the same order for both processes.

Step 5. After an entire scanner has been reviewed, hand off all pink sheets from the scanner to the verification team who will independently review all Write-in votes to ensure they have been accurately accounted for and validated.

10.8 Established Rules for Write-ins

The following rules and regulations of the State Board of Election are current with amendments issued through January 1, 2011, Title 9 – Executive Department, Subtitle V – State Board of Elections.

§ 6210.13. Standards for determining valid votes

"The State Board hereby adopts the following regulations to provide for uniform, non-discriminatory standards for establishing what constitutes a vote and what shall be counted as a vote for all categories of voting systems and voting procedures used in New York.

The following standards shall apply in determining whether a ballot has been properly voted and whether a vote should be counted for any office or ballot question.

"... (a) The following general standards shall apply in the counting of all ballots and votes, regardless of the voting system used:

(12) Write-in votes are votes cast for a person or persons whose name(s) do not appear on the official ballot.

(a) Write in votes for persons whose names appear on the official ballot for that office or party position shall not be counted,

(b) A Write-in vote may be cast by the use of a name stamp.

(c) A Write-in vote must be cast in the appropriate place on the machine, or it shall be void and not counted.

(d) A voter need not write in the first and last name of a candidate in every situation; the standard is whether the election inspectors can reasonably determine the intent of the voter when they cast their ballot."

§ 6210.15. Standards for determining valid votes on optical scan voting systems and/or paper ballots

(a) Standards indicating a valid vote. A vote cast on a paper ballot shall be the choice made by a voter, not to exceed the maximum allowable votes per race or question than the number for which the voter is eligible to vote, by: (the examples below in this section apply to all types of voting position target areas on ballots, regardless of what form they may take, e.g. rectangle, oval, circle, square, open arrow);

(1) Voter indicates vote choice by consistently filling inside the entire voting position target;

(2) Voter indicates choice by consistently filling in less than the entire voting position target for all vote choices on the ballot and the ballot is processed in a manner consistent with the use of procedures provided and approved for the voting system;

(3) Voter indicates vote choice by consistently placing a distinctive mark, such as properly filled in voting position targets, a cross mark "X", a checkmark "✓" a circle, or complete an open arrow "←" inside the associated voting position target area for a candidate choice or ballot question;

(4) Voter marks vote choices by circling the entire voting position target area for a candidate or ballot question;

(5) Voter writes in or stamps the name of a candidate in the designated Write-in space for that race, even if the Write-in square, oval or arrow is nor marked;

(6) A Write-in vote in addition to a vote for another candidate for the office, with a greater number of choices of different candidates than the number for which he or she is lawfully entitled to vote, the vote shall not be counted for that contest, but

shall be counted in all other contests in which there are not overvotes and the voter's choices can be clearly determined;

Below are the Guiding Principles for Write-ins:

1) A Write-in vote must be cast in the correct column:

"A write-in vote must be cast in the appropriate place on the machine, or it shall be void and not counted. ." [6210.13 (12) (iii)]

2) A Write-in vote must be written in the appropriate space on the ballot:

"in a space that appears at the bottom of the column (for horizontal ballots) or at the end of the new row (for vertical ballots), containing the title of office" [EL.7-122(1)(3)(3)].

3) The law specifically prohibits the counting of any Write-in vote cast for a candidate who is already on the ballot. [6210.13 (12) (i)].

"Write-in votes for persons who names appear on the official ballot for that office or party position shall not be counted. ."

10.8.1 Table of Write-in Scenarios

Description of Write-in	Action Taken by Teams of Bi-partisan Staff
There is more than one contest with Write-in votes on the ballot.	Validate the rest of the Write-ins using the validation steps and write any additional valid Write-ins on the same pink sheet for that ballot.
The next ballot with Write-ins is found.	Start with a fresh pink sheet from the stack of blank sheets and repeat the steps above. Each pink sheet represents one ballot.
There are remaining pink sheets with no matches at the end of reviewing all ballots.	Find the ballot based on the file name at the top of the Pink Sheet and verify if the Write-in votes are valid.
The voted Write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest.	Complete a pink Write-in form for this candidate.
The voted Write-in candidate name closely resembles a candidate name already listed on the ballot for the same contest, but does not exactly match.	Complete a pink Write-in form for this candidate.
The voted Write-in candidate does not match a candidate name already listed on the ballot for the same contest, and there are not more votes cast than possible votes for the contest.	The Write-in vote is valid. Complete a pink Write-in form for this candidate.
The Write-in oval is darkened, but there is no name written.	Complete the pink Write-in form using the words “No Name” as the candidate name.
Voter writes in the candidate’s First name OR Last name alone.	Complete a pink Write-in form for this candidate.
Voter writes in the candidate’s name using other than the English alphabet, e.g., a, b, c … z	Complete the pink Write-in form using the words “Non English Name” as the candidate name.
Voter uses a stamp to write in a candidate name on the ballot.	The Write-in vote is valid. Complete a pink Write-in form for this candidate.
The voted Write-in is a phrase instead of a name.	Complete a pink Write-in form for this candidate.
The voted candidate name is a picture or drawing.	Complete the pink Write-in form using the words “No Name” as the candidate name.

PLEASE NOTE: A final determination will be made as to whether the Write-in vote is valid when the normalization of names occurs during input to S-Elect.

VERIFICATION CLERKS:

10.9 Verify Valid Write-in Votes

Step 1. Beginning with the first ballot from the first ED/AD within the first poll site, review every contest for Write-in votes.

Step 2. As each ballot with Write-ins is found, find the pink sheet with the same file name (Write-in ballots should be found in order if the Write-in Clerk kept the Pink Sheets in order as they were found). Compare it to all Write-in votes for the ballot on the computer screen and ensure each Write-in vote is valid according to the rules set out above in 10.6 "Review Ballots for Valid Write-ins."

Step 3. Once all the Write-ins on the ballot are reviewed and validated, (both Verification Clerks) sign the form verifying the Write-in votes recorded for that ballot.

Step 4. When an entire scanner has been verified, hand off all pink sheets from the scanner to the team that will enter the results into S-Elect.

Description of Write-in	Established Rules/Action Taken
The valid Write-in votes listed on the pink sheet exactly match the valid Write-in votes from the ballot on the screen	Place the pink sheet for that ballot face down in a stack of “verified” pink sheets and continue reviewing the remaining ballots from the scanner.
The Write-in votes listed on the pink sheet do not exactly match the Write-in votes from the ballot on the screen	Correct the error on the Pink Sheet.
No completed pink sheets are found that exactly match the file name and valid votes from the ballot on the screen,	Complete all of the ballot details on a new pink sheet and place it face down in a pile of “verified” ballots and continue reviewing the remaining ballots from the scanner.
There are remaining pink sheets with no matches at the end of reviewing all ballots	Find the ballot based on the file name at the top of the Pink Sheet and verify if the Write-in votes are valid.

S-ELECT CLERKS:

Normalize and Enter Write-in Names into S-Elect. For detailed procedures, see *Section* 19.0 Entering Write-in Names into S-Elect.

WRITE-IN NAMES

ENTER INTO S-ELECT

HASNO #: _____

ED ____ AD ____

Ballot Image File Name _____

Office Title	**Write-in Name**

Write-In Clerk:	Dem: _____	Date: _____	Rep: _____	Date: _____
Verification Clerk:	Dem: _____	Date: _____	Rep: _____	Date: _____
S-Elect Clerk:	Dem: _____	Date: _____	Rep: _____	Date: _____

Figure 11. Write-in Form for Poll Site Ballots

11.0 RE-CANVASS OF POLL SITE BALLOTS

11.1 Purpose and Assumptions

Election results received from the Unofficial ERM system, as read from the data Portable Memory Devices (PMDs), as well as the election results received from the backup PMDs are both stored in S-Elect (the Board's election results management system). The system compares these two results and generates a discrepancy report where the totals for any candidate are different. Bi-partisan teams of borough personnel review the discrepancy report and attempt to resolve the discrepancies by tallying the ballots for each discrepancy using the DS850 Central Scanner. They record the numbers from ED/AD reports generated by the DS850on to the Discrepancy Report.

The correct results are verified by reviewing the Discrepancy Reports or by comparing the numbers on the Discrepancy Worksheet to the numbers on the ED/AD reports generated for each discrepancy. The corrected results are then entered into the S-Elect system. The movement of all materials is documented, receipts are completed and the Discrepancy Report and ballots are returned to secured storage and all materials are set aside for later archiving.

As enumerated in NYS Election Law Section 9-209 (1):

> *b. "At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act."*

The purpose of this section is to provide detailed procedures for canvassing results from the Primary PMDs read on Election Night and the Backup PMDs read after the election.

Re-Canvass of Poll site Ballots Assumptions

- The Election Night Results are transmitted from the Police Precincts to BOE.
- All relevant data (including Election Night Results and EMS PMD Reading results), are available in S-Elect prior to the beginning of the Re-Canvass.
- The S-Elect Discrepancy Report is available to Lead People to run once the appropriate data is loaded and the Lead People have permission to run the report.
- The Re-Canvass Discrepancy Worksheets are broken down by poll site in order to facilitate easy distribution and assignment of the report to teams designated by the Lead People.
- All Ballots will be stored in the designated secured storage area located in each borough.
- DS850 Central Scanner is available for use.

11.2 Space and Physical Resources

The Re-Canvass of Poll site Ballots procedure will take place in a location designated by the Chief and Deputy of each borough. This location will provide tables and chairs with sufficient space for the bi-partisan team of Board staff to conduct the procedures as described below including space for the materials that need to be in the room while the re-canvass occurs.

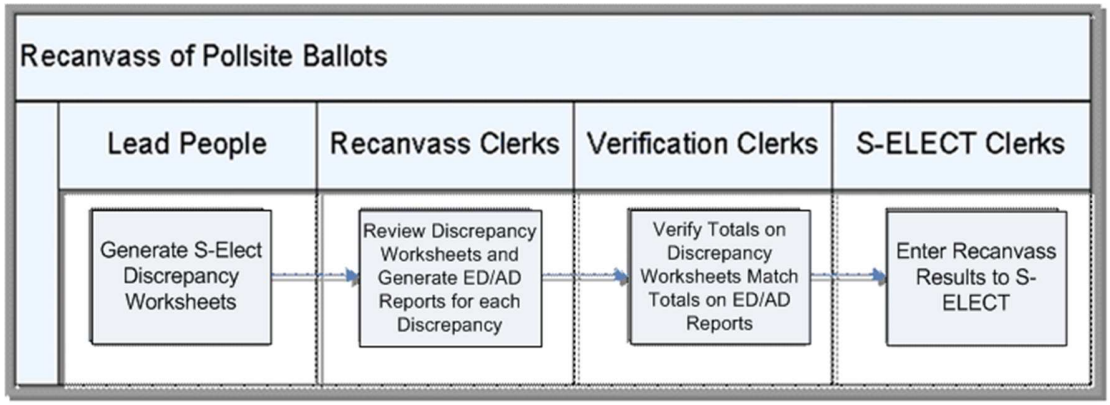
11.3 Responsible Personnel

Role	Responsibility
Lead People	▪ Responsible for the oversight of the re-canvass process ▪ Responsible for generating S-Elect Discrepancy Worksheets for each poll site ▪ Responsible for coordinating and managing the process of providing the appropriate materials to Re-Canvass
Re-Canvass Clerks	▪ Responsible for tallying the first pass of re-canvass totals and providing the results to the Verification Clerks
Verification Clerks	▪ Responsible for auditing the re-canvass tally and identifying discrepancies, if any
S-Elect Clerks	▪ Responsible for entering re-canvass results into the S-Elect system

11.4 Chain of Custody Tracking and Documentation

Any materials checked in to or out of the secured storage area must be documented on a tracking sheet as provided in Section 6.0.

11.5 Detailed Procedures


Recanvass of Pollsite Ballots
Lead People
Recanvass Clerks
Verification Clerks
S-ELECT Clerks
Generate S-Elect Discrepancy Worksheets
Review Discrepancy Worksheets and Generate ED/AD Reports for each Discrepancy
Verify Totals on Discrepancy Worksheets Match Totals on ED/AD Reports
Enter Recanvass Results to S-ELECT

11.6 Generate S-Elect Discrepancy Worksheets

LEAD PEOPLE:

Step 1. Prepare for the Re-Canvass by generating Re-Canvass Discrepancy Worksheets and "List of Poll sites with Discrepancies" from S-Elect. Both Re-Canvass Discrepancy Worksheet and the list are available in S-Elect for every poll site where there is a discrepancy between the unofficial election night results and the PMD results.

NOTE: Refer to S-Elect manual for instructions on how to generate a Discrepancy Worksheet and the *List of Poll sites with Discrepancies*.

Step 2. Obtain a List of poll sites with Discrepancies and put in Zone order before retrieving ballots from Secured Storage area.

Step 3. Perform the authorized tracking procedures for checking materials out of the storage room and bring the relevant ballots to the room designated for Re-Canvass.

Step 4. Assign the ballots and the corresponding Discrepancy Worksheet to each available team of Re-Canvass Clerks.

11.7 Review Discrepancy Worksheets

RE-CANVASS CLERKS:

Step 1. Before beginning the Re-Canvass process, review the entire Discrepancy Worksheet and familiarize yourselves with the contests, candidates, party codes and any relevant details of the election that have shown up on the report as a discrepancy.

Step 2. Starting with the first poll site on the Discrepancy Worksheet, begin by retrieving the relevant ballots, taking care to only open one ballot bin liner at a time in order to keep the ballots with the correct ballot bin liner.

Step 3. Configure the DS850 to scan ballots for the relevant poll site. See EMS Instructions.

Step 4. Scan ballots for the relevant poll site one ballot bin liner at a time, returning the ballots to their correct bin after scanning.

Step 5. Produce ED/AD reports from the DS850 for each ED/AD in the poll site that contains discrepancies.

Step 6. Record the number of votes cast from the DS850 ED/AD reports on to the Discrepancy Worksheet for each candidate.

Step 7. When all discrepancies have been recorded on the discrepancy worksheet, the Bi-partisan team of borough personnel signs and dates the discrepancy worksheet.

Step 8. After all ED/ADs at a poll site are re-canvassed, check off the poll site on the *List of Poll Sites with Discrepancies*.

11.8 Verification of Discrepancy Worksheet Totals

VERIFICATION CLERKS:

Before beginning the Re-Canvass process, review the entire Discrepancy Worksheet and familiarize themselves with the contests, candidates and any relevant details of the election that have shown up on the report as a discrepancy. Perform the same review of the Discrepancy Worksheets as the Re-Canvass Clerks to ensure that no human error was introduced to the process of totaling the votes cast for each candidate. Once a total is recorded for each candidate on the Discrepancy Worksheet, review all of the totals including the Unofficial Election Night Results, the PMD Results, the Emergency Ballot Results and the Re-Canvass and Verification Totals and report any potential errors to the Lead People.

Step 1. Starting with the first candidate on the Discrepancy Worksheet, begin by retrieving the relevant ballots DS850 ED/AD reports.

Step 2. Make sure the numbers on the ED/AD report exactly matches the number of votes shown on the Discrepancy Worksheet.

Step 3. If the Re-Canvass and Verification Totals for the candidate do not match, review each number on the Discrepancy Worksheet a second time and ensure all votes cast for the candidate are correct.

Step 4. If the totals for the candidate still do not match, notify the Lead People immediately

Step 5. Repeat the process for each candidate listed on the Discrepancy Worksheet until all Discrepancies for the poll site have been reviewed and a total number of votes cast for each candidate is present.

Step 6. Return all re-canvass materials to secured storage

11.9 Entry of Re-Canvass Results to S-Elect

S-Elect CLERKS:

Once all discrepancies have been resolved, enter the Re-Canvass results into S-Elect immediately as each poll site is completed.

NOTE: Refer to S-Elect manual for instructions on how to enter Re-Canvass data to S-Elect.

12.0 AUDIT OF POLL SITE SCANNERS

12.1 Purpose and Assumptions

Following New York State Election Law, New York State Board of Elections Rules and Regulations, and BOE in NYC policy and standard operating procedures, the entire fleet of scanners used on Election Day is ordered in random sequence and the first 3% are audited. Bi-partisan borough personnel produce the report of uploaded results in S-Elect and retrieve the ballots from the relevant ballot bin liner cases. Personnel manually canvass the selected ballots and compare them against the results from the scanners. After confirming that the manual canvass is correct, if discrepancies remain, additional scanners are chosen for audit, starting with an additional 5%, then an additional 12% if discrepancies remain, and finally a 100% audit of all scanners.

As enumerated in NYS Election Law Section 9-209 (1):

> *b. "At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act."*

The purpose of this section is to provide detailed procedures for auditing the randomly ordered scanners.

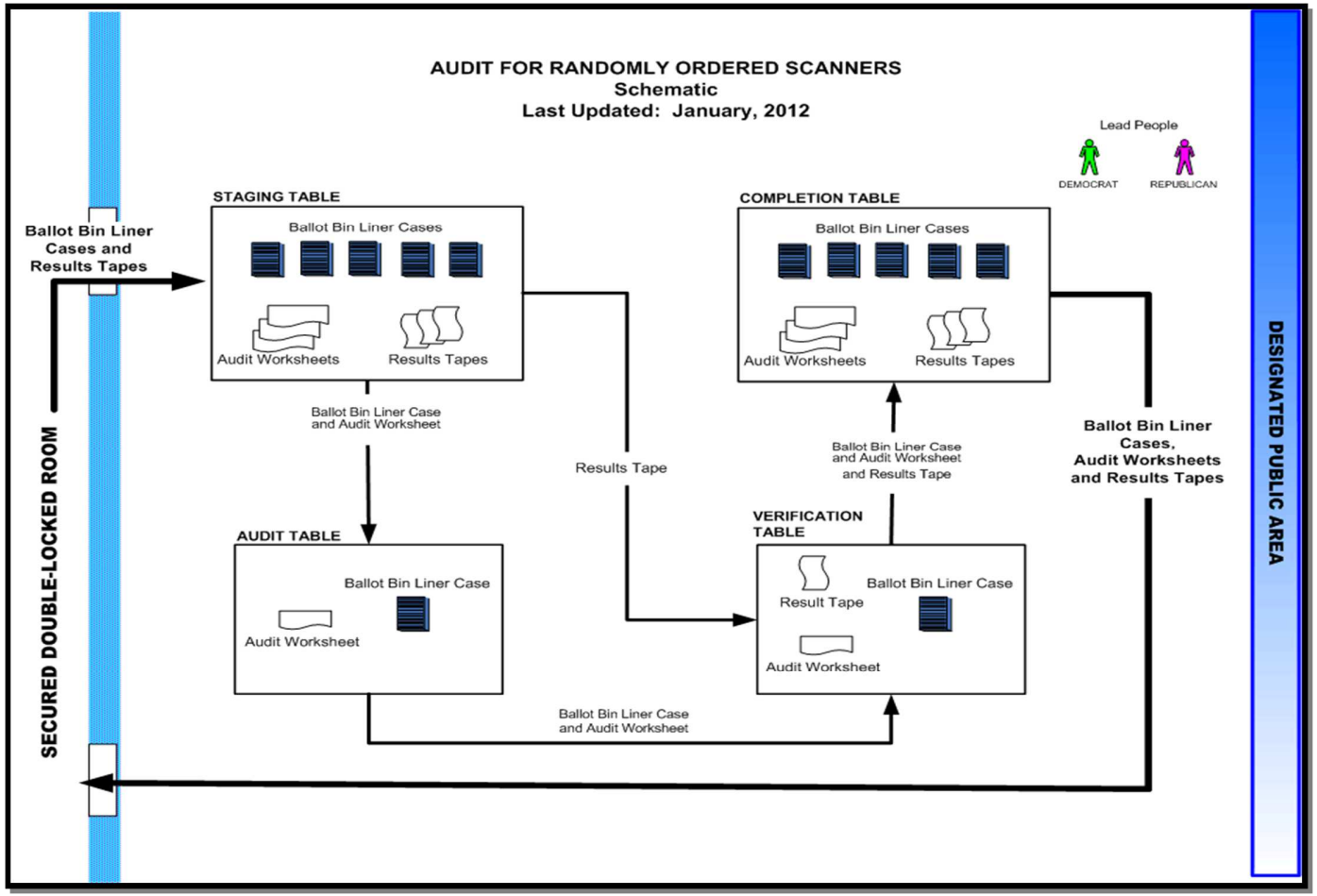
Audit of Poll Site Scanners Requirements

- The scanners are randomly ordered.
- Bi-partisan Teams of Lead People have appropriate access level to S-Elect to generate Audit Worksheets.
- The required materials needed to perform the audit are available.

12.2 Candidates and/or their Representatives

In accordance with the provisions of New York State Election Law and Board Procedures, the Candidate Records Unit (CRU) notifies candidates of the date of the drawing of the random order of the scanners for auditing. After each election, the Commissioners or their designees determine a time for an Audit of the scanners for each borough in which the scanners were used. One representative of each candidate whose name appears on the ballot is entitled to be present at the audit for each bi-partisan team the Board of Elections employs for such audit.

12.3 Space and Physical Resources



12.4 Responsible Personnel

Role	Responsibility
Senior Board Staff	▪ Responsible for the completion and maintenance of all audit activity documentation including signing the Audit Certificate when audit is completed.
Bi-partisan Teams of Lead People	▪ Responsible for the oversight of the Audit process ▪ Responsible for generating Audit Worksheets for each randomly selected scanner ▪ Responsible for coordinating and managing the process of providing the appropriate materials to Audit Clerks including SVR Bags and SVR Pouches
Bi-partisan Teams of Audit Clerks	▪ Responsible for auditing the first pass of auditing totals and providing the results to the Lead People.

12.5 Detailed Procedures

General Office staff conduct the random draw of scanners and distribute the list of randomly ordered scanners to each borough.

LEAD PEOPLE:

Obtain the following supplies for the Audit:

A. List of randomly ordered scanners

B. Audit worksheets

C. List of scanners assigned to poll sites

D. Scanner seals report

Please note the following:

- Audit Worksheets are available by scanner unit number from S-Elect in the Election Results menu, under Reports.
- The Scanners-assigned-to-Poll sites list identifies the scanner's poll site and is used to locate the relevant yellow bags and ballot bin liner cases.
- Scanner Voting Records (SVR) bags and ballot bin liner cases for the selected scanners are present at the location of the Audit.
- Auditing begins with the first scanner selected from the List of Scanners to be audited.
- Compare and verify the ballot bin liner case seal number to the Seals Pack Report or Scanner Booklet.
- Assign one ballot bin liner case and Audit Worksheet for that scanner to each available bi-partisan Audit Team.

AUDIT TEAMS:

Step 1. Review Audit Worksheet, note the contests and candidates to be audited, and complete the Individual Audit section of the cover page

Step 2. Remove the ballots from the ballot bin liner case and if necessary for manageability, sort the ballots into batches of a known size (10, 25, 50 or 100).

Step 3. Count all races and questions in one batch of ballots at a time, marking the tally sheet for each vote cast as the scanner would interpret the mark (see detailed procedures in Appendix B for tallying rules).

Step 4. Total the votes for all candidates for each office, write-ins, blanks, overvotes and proposals in the one batch.

Step 5. Total the votes for each Scanner, count the number of ballots and enter the total on the Audit Worksheet and give the full package to the verification team.

VERIFICATION TEAMS:

Step 1. Review Audit Worksheet, note the contests and candidates to be audited, and complete the Individual Audit section of the cover page

Step 2. Retrieve ballots for the Scanner

Step 3. Count all races and questions in one batch of ballots at a time, confirm the tally sheet for each vote cast as the scanner would interpret the mark (see detailed procedures in Appendix B for tallying rules).

Step 4. Total the votes for all candidates for each office, write-ins, blanks, overvotes and proposals in the one batch.

Step 5. Total the votes for each Scanner, count the number of ballots and enter the total on the Audit Worksheet and return the full package to the Lead People.

LEAD PEOPLE:

Step 1. Retrieve the scanner Results Report Tapes from the yellow bag, enter the results of the tape on the Audit Worksheet and compare the results of the tape to the results of the Audit Team for each Scanner.

Step 2. Follow established procedures to resolve any discrepancies between the tapes and the hand count, remembering that the hand tally must be done in the same manner that the scanner is certified to tally.

Step 3. Replace all ballots back in the ballot bin liner case, reseal the ballot bin liner case and record the seal on the Audit Worksheet

Step 4. Provide Commissioners with the Poll Site Scanner Audit Summary Report for a determination on whether or not an expansion of the audit is required.

Step 5. Ensure the Election Commissioners or their designees date and sign the Audit Reconciliation Certificate.

If a Ballot Bin Liner Case is missing:

Step 1. Search for the Ballot Bin Liner Case.

Step 2. Determine if the ballot bin liner case may have been left in the scanner.

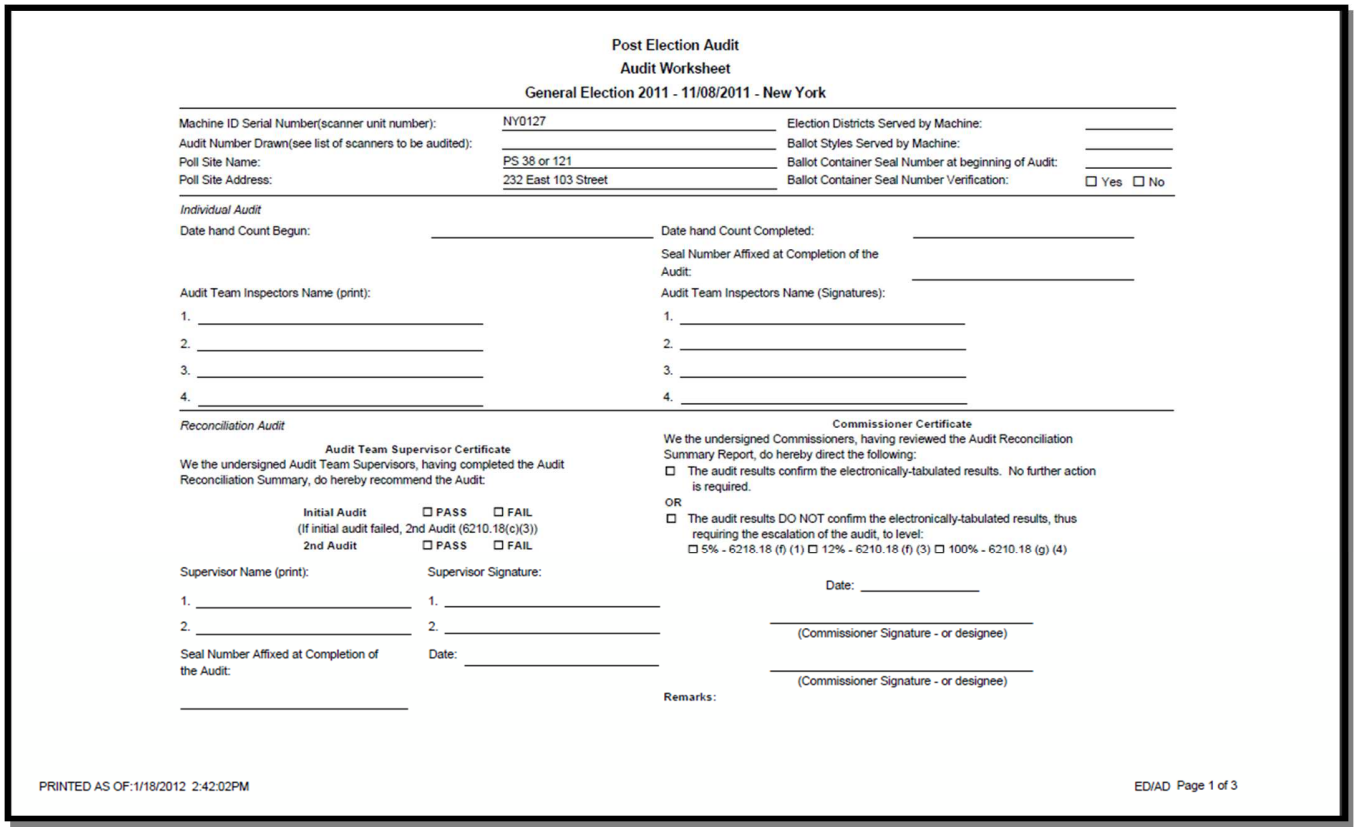
Step 3. Report missing ballot bin liner case to Commissioners or their designees.

If a Results Tape is Missing:

Step 1. Search for the Results Tape.

Step 2. If the results tape is missing use the Backup PMD. Take the Backup PMD to a stand-alone EMS client setup locally with the election, read the backup PMD and print summary report. Write “Reprinted from a backup PMD” on the report and in the comments section of the Audit Worksheet.

Step 3. If the results tape and the Backup PMD are missing, report missing materials to Commissioners or their designees.



Post Election Audit
Audit Worksheet
General Election 2011 - 11/08/2011 - New York

Machine ID Serial Number(scanner unit number): NY0127
Audit Number Drawn(see list of scanners to be audited):
Poll Site Name: PS 38 or 121
Poll Site Address: 232 East 103 Street

Election Districts Served by Machine:
Ballot Styles Served by Machine:
Ballot Container Seal Number at beginning of Audit:
Ballot Container Seal Number Verification: ☐ Yes ☐ No

Individual Audit

Date hand Count Begun:
Date hand Count Completed:
Seal Number Affixed at Completion of the Audit:

Audit Team Inspectors Name (print):
1.
2.
3.
4.

Audit Team Inspectors Name (Signatures):
1.
2.
3.
4.

Reconciliation Audit

Audit Team Supervisor Certificate
We the undersigned Audit Team Supervisors, having completed the Audit Reconciliation Summary, do hereby recommend the Audit:

Initial Audit ☐ **PASS** ☐ **FAIL**
(If initial audit failed, 2nd Audit (6210.18(c)(3))
2nd Audit ☐ **PASS** ☐ **FAIL**

Supervisor Name (print):
1.
2.

Supervisor Signature:
1.
2.

Seal Number Affixed at Completion of the Audit:

Date:

Commissioner Certificate
We the undersigned Commissioners, having reviewed the Audit Reconciliation Summary Report, do hereby direct the following:
☐ The audit results confirm the electronically-tabulated results. No further action is required.
OR
☐ The audit results DO NOT confirm the electronically-tabulated results, thus requiring the escalation of the audit, to level:
☐ 5% - 6218.18 (f) (1) ☐ 12% - 6210.18 (f) (3) ☐ 100% - 6210.18 (g) (4)

Date:
(Commissioner Signature - or designee)
(Commissioner Signature - or designee)

Remarks:

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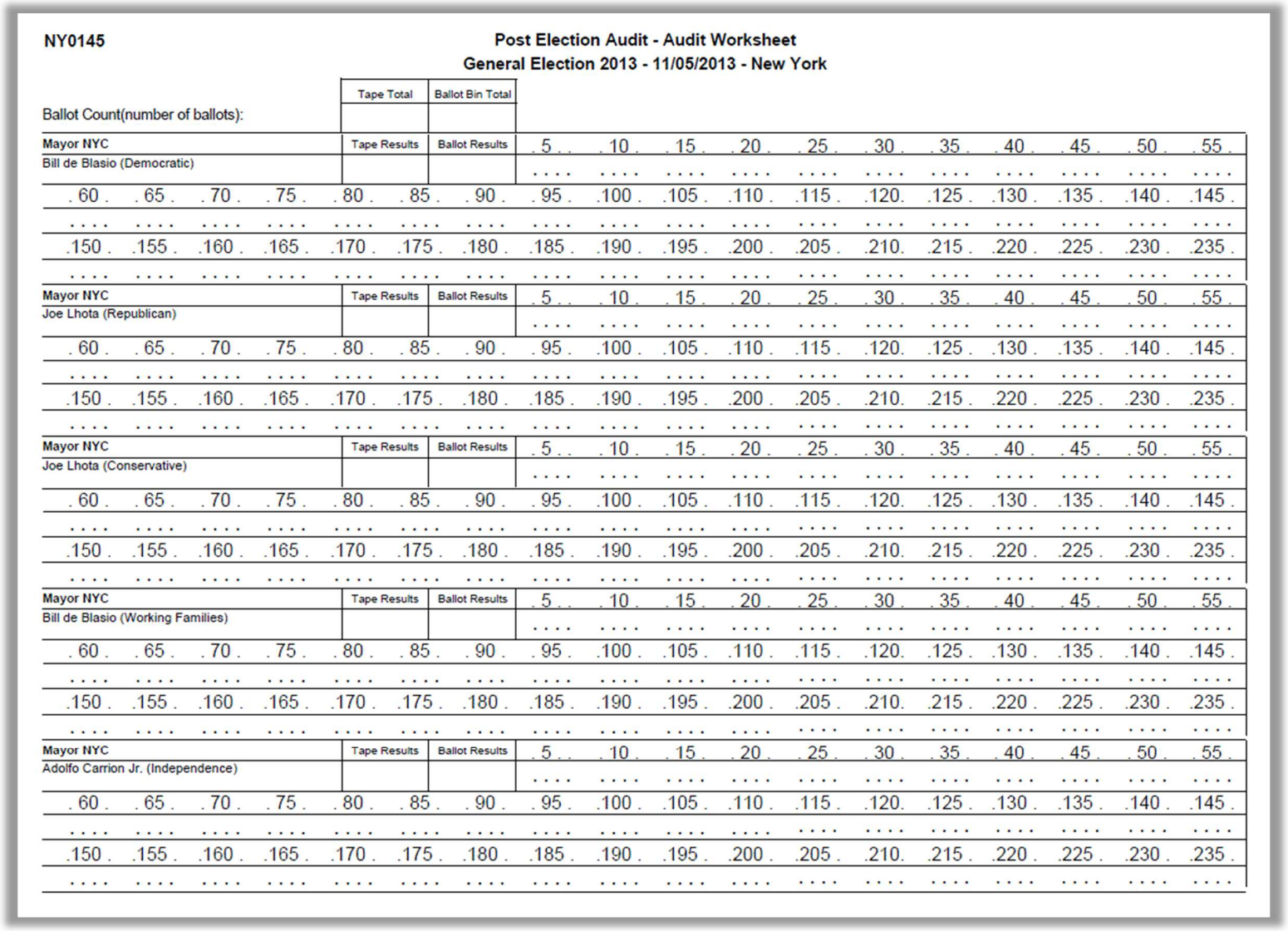
ED/AD Page 1 of 3

Figure 12. Poll Site Scanner Audit Worksheet Cover Page



NY0145

Post Election Audit - Audit Worksheet

General Election 2013 - 11/05/2013 - New York

Ballot Count(number of ballots):	Tape Total	Ballot Bin Total

Mayor NYC Bill de Blasio (Democratic)	Tape Results	Ballot Results	. 5 .	. 10 .	. 15 .	. 20 .	. 25 .	. 30 .	. 35 .	. 40 .	. 45 .	. 50 .	. 55 .
			. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
. 60 .	. 65 .	. 70 .	. 75 .	. 80 .	. 85 .	. 90 .	. 95 .	.100 .	.105 .	.110 .	.115 .	.120.	.125 .	.130 .	.135 .	.140 .	.145 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
.150 .	.155 .	.160 .	.165 .	.170 .	.175 .	.180 .	.185 .	.190 .	.195 .	.200 .	.205 .	.210.	.215 .	.220 .	.225 .	.230 .	.235 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .

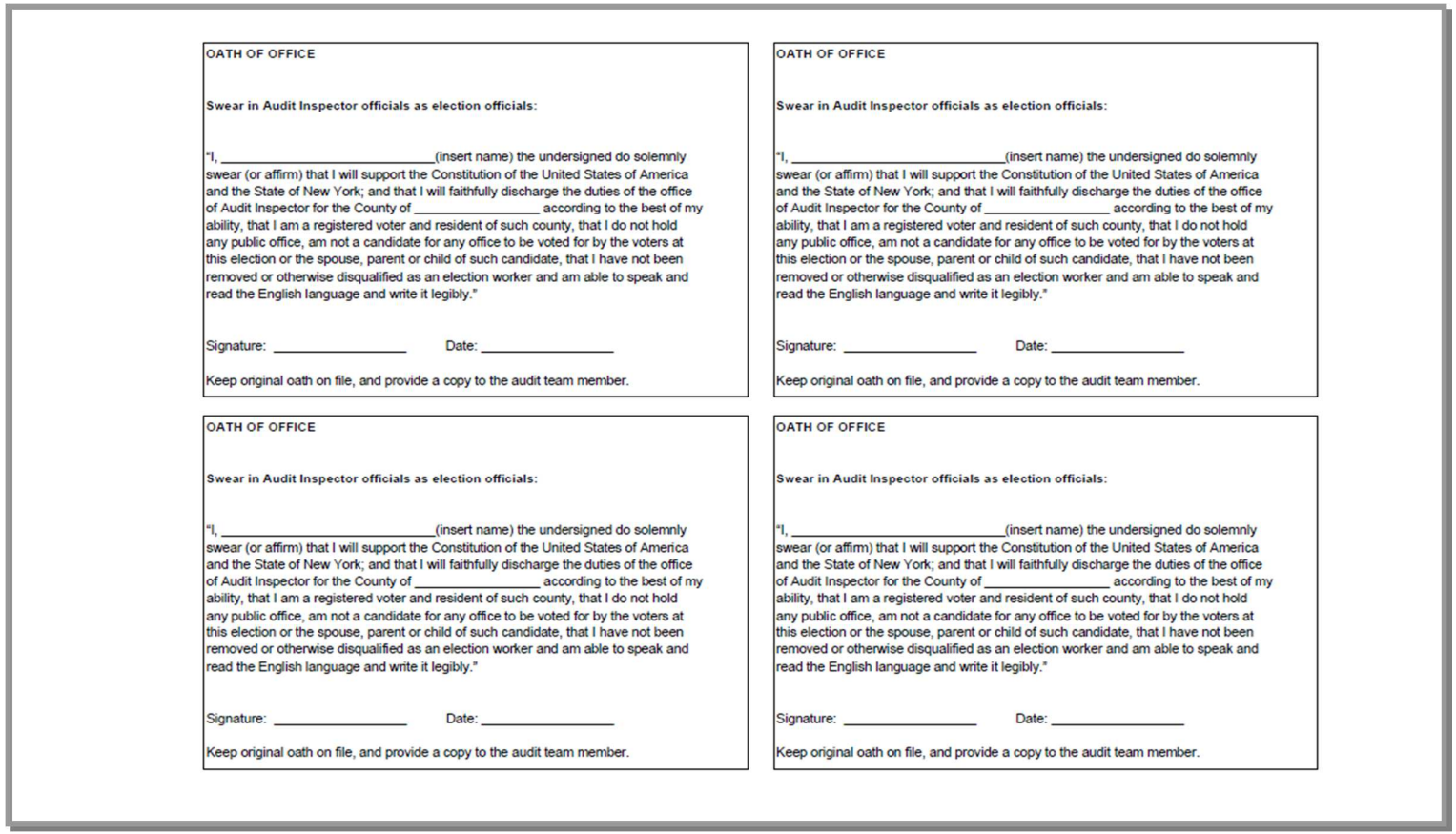
Mayor NYC Joe Lhota (Republican)	Tape Results	Ballot Results	. 5 .	. 10 .	. 15 .	. 20 .	. 25 .	. 30 .	. 35 .	. 40 .	. 45 .	. 50 .	. 55 .
			. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
. 60 .	. 65 .	. 70 .	. 75 .	. 80 .	. 85 .	. 90 .	. 95 .	.100 .	.105 .	.110 .	.115 .	.120.	.125 .	.130 .	.135 .	.140 .	.145 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
.150 .	.155 .	.160 .	.165 .	.170 .	.175 .	.180 .	.185 .	.190 .	.195 .	.200 .	.205 .	.210.	.215 .	.220 .	.225 .	.230 .	.235 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .

Mayor NYC Joe Lhota (Conservative)	Tape Results	Ballot Results	. 5 .	. 10 .	. 15 .	. 20 .	. 25 .	. 30 .	. 35 .	. 40 .	. 45 .	. 50 .	. 55 .
			. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
. 60 .	. 65 .	. 70 .	. 75 .	. 80 .	. 85 .	. 90 .	. 95 .	.100 .	.105 .	.110 .	.115 .	.120.	.125 .	.130 .	.135 .	.140 .	.145 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
.150 .	.155 .	.160 .	.165 .	.170 .	.175 .	.180 .	.185 .	.190 .	.195 .	.200 .	.205 .	.210.	.215 .	.220 .	.225 .	.230 .	.235 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .

Mayor NYC Bill de Blasio (Working Families)	Tape Results	Ballot Results	. 5 .	. 10 .	. 15 .	. 20 .	. 25 .	. 30 .	. 35 .	. 40 .	. 45 .	. 50 .	. 55 .
			. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
. 60 .	. 65 .	. 70 .	. 75 .	. 80 .	. 85 .	. 90 .	. 95 .	.100 .	.105 .	.110 .	.115 .	.120.	.125 .	.130 .	.135 .	.140 .	.145 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
.150 .	.155 .	.160 .	.165 .	.170 .	.175 .	.180 .	.185 .	.190 .	.195 .	.200 .	.205 .	.210.	.215 .	.220 .	.225 .	.230 .	.235 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .

Mayor NYC Adolfo Carrion Jr. (Independence)	Tape Results	Ballot Results	. 5 .	. 10 .	. 15 .	. 20 .	. 25 .	. 30 .	. 35 .	. 40 .	. 45 .	. 50 .	. 55 .
			. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
. 60 .	. 65 .	. 70 .	. 75 .	. 80 .	. 85 .	. 90 .	. 95 .	.100 .	.105 .	.110 .	.115 .	.120.	.125 .	.130 .	.135 .	.140 .	.145 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .
.150 .	.155 .	.160 .	.165 .	.170 .	.175 .	.180 .	.185 .	.190 .	.195 .	.200 .	.205 .	.210.	.215 .	.220 .	.225 .	.230 .	.235 .
. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .	. . . .

Figure 13. The Poll Site Scanner Audit Worksheet



OATH OF OFFICE

Swear in Audit Inspector officials as election officials:

"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

OATH OF OFFICE

Swear in Audit Inspector officials as election officials:

"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

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Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

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Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

Figure 14. The Poll Site Scanner Audit Worksheet Certification Oath

12.6 Forms

Refer to Appendix B for the attached New York State Board of Elections document entitled "Audit Procedure for Compliance with 6210.18." All samples of forms are included here.

13.0 AUDIT OF CENTRAL BALLOT SCANNERS

13.1 Purpose and Requirements

Following New York State Election Law, New York State Board of Elections Rules and Regulations, and BOE in NYC policy and standard operating procedures, the list of Election Districts (ED) for each borough is ordered in random sequence and the first 3% are audited. Bi-partisan borough personnel produce the report of uploaded results in S-Elect and retrieve the ballots for the relevant EDs. Bi-partisan Board of Elections Team(s) manually canvass the ballots of the selected EDs and compares them against the results from the central ballot scanners. After confirming that the manual canvass is correct, if discrepancies remain, additional EDs are chosen for audit, starting with an additional 5%, then an additional 12% if discrepancies remain, and finally a 100% audit of all election districts.

The purpose of this section is to provide detailed procedures for auditing the randomly ordered election districts.

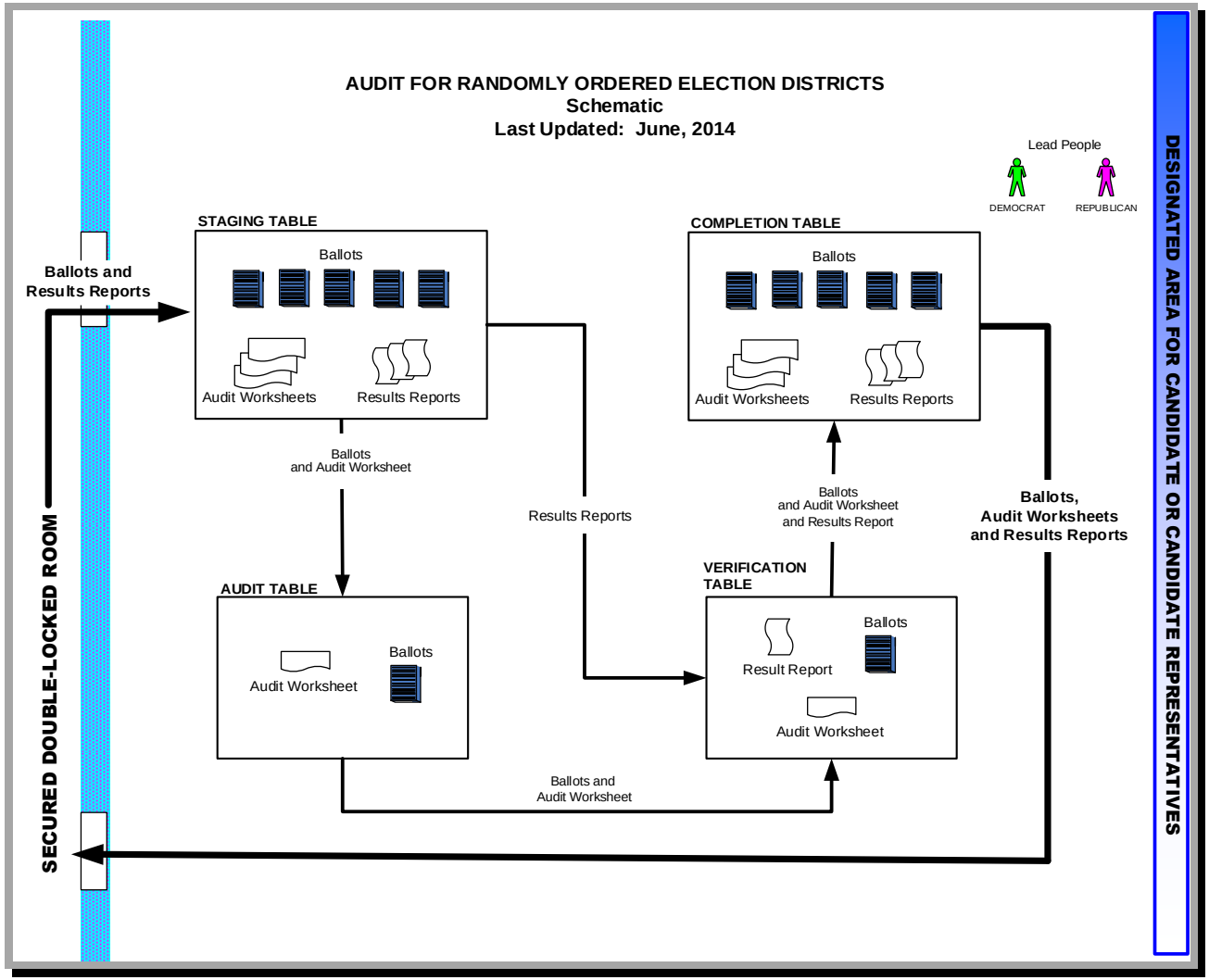
Audit of central ballot Scanners Requirements

- Election Districts (EDs) are randomly ordered.
- Lead People have the appropriate access level to S-Elect to generate Audit Worksheets.
- Required materials needed to perform the audit are available.

13.2 Candidates and/or their Representatives

In accordance with the provisions of New York State Election Law and Board Procedures, the Candidate Records Unit (CRU) notifies candidates of the date of the drawing of the random order of the EDs for the central scanner audit. After each election, the Commissioners or their designees determine a time for an Audit of the central scanning systems for each borough in which the system was used. One representative of each candidate whose name appears on the ballot is entitled to be present at the audit for each bi-partisan team the Board of Elections employs for such audit.

13.3 Space and Physical Resources



13.4 Responsible Personnel

Role	Responsibility
Senior Board Staff	▪ Responsible for the completion and maintenance of all audit activity documentation including signing the Audit Certificate when audit is completed.
Bi-partisan Teams of Lead People	▪ Responsible for the oversight of the Audit process ▪ Responsible for generating Audit Worksheets for each randomly selected ED ▪ Responsible for coordinating and managing the process of providing the appropriate materials to Audit Clerks including Results Reports and ballots
Bi-partisan Teams of Audit Clerks	▪ Responsible for auditing the first pass of auditing totals and providing the results to the Lead People.

13.5 Detailed Procedures

Executive Office staff conduct the random draw of EDs and distribute the list of randomly ordered EDs to each borough.

BI-PARTISAN TEAMS OF LEAD PEOPLE:

Obtain the following supplies for the Audit:

A. List of randomly ordered EDs

B. Audit worksheets

C. Results Reports

Please note the following:

- Audit Worksheets are available from S-Elect in the Election Results menu, under Reports. The Audit Worksheet is available by election district (ED).
- Begin with the first ED selected from the List of EDs to be Audited and complete the top section of the Audit Worksheet cover page.
- Assign one ED and Audit Worksheet for that scanner to each available Audit Team.

BI-PARTISAN TEAMS OF AUDIT TEAMS:

Step 1. Review Audit Worksheet, note the contests and candidates to be audited, and complete the Individual Audit section of the cover page.

Step 2. Retrieve ballots for the ED.

Step 3. Count all races and questions in one batch of ballots at a time, marking the tally sheet for each vote cast as the scanner would interpret the mark (see detailed procedures in Appendix B for tallying rules).

Step 4. Total the votes for all candidates for each office, write-ins, blanks, overvotes and proposals in the one batch.

Step 5. Total the votes for each ED, count the number of ballots and enter the total on the Audit Worksheet and give the full package to the Verification Team.

BI-PARTISAN TEAMS OF VERIFICATION TEAMS:

Step 1. Review Audit Worksheet, note the contests and candidates to be audited, and complete the Individual Audit section of the cover page.

Step 2. Retrieve ballots for the ED.

Step 3. Count all races and questions in one batch of ballots at a time, confirm the tally sheet for each vote cast as the scanner would interpret the mark (see detailed procedures in Appendix B for tallying rules).

Step 4. Total the votes for all candidates for each office, write-ins, blanks, overvotes and proposals in the one batch.

Step 5. Total the votes for each ED, count the number of ballots and enter the total on the Audit Worksheet and return the full package to the Lead People.

BI-PARTISAN TEAMS OF LEAD PEOPLE:

Step 1. Retrieve the Results Report, enter the results of the report on the Audit Worksheet and compare the results of the Results ED Report to the results of the Audit Team for each ED.

Step 2. Follow established procedures to resolve any discrepancies between the Results Report and the hand count, remembering that the hand tally must be done in the same manner that the scanner is certified to tally.

Step 3. Provide Commissioners with the Central Ballot Scanner Audit Summary Report for a determination on whether or not an expansion of the audit is required.

Step 4. Ensure the Election Commissioners or their designees date and sign the Audit Reconciliation Certificate.

If the ballots for an ED are missing:

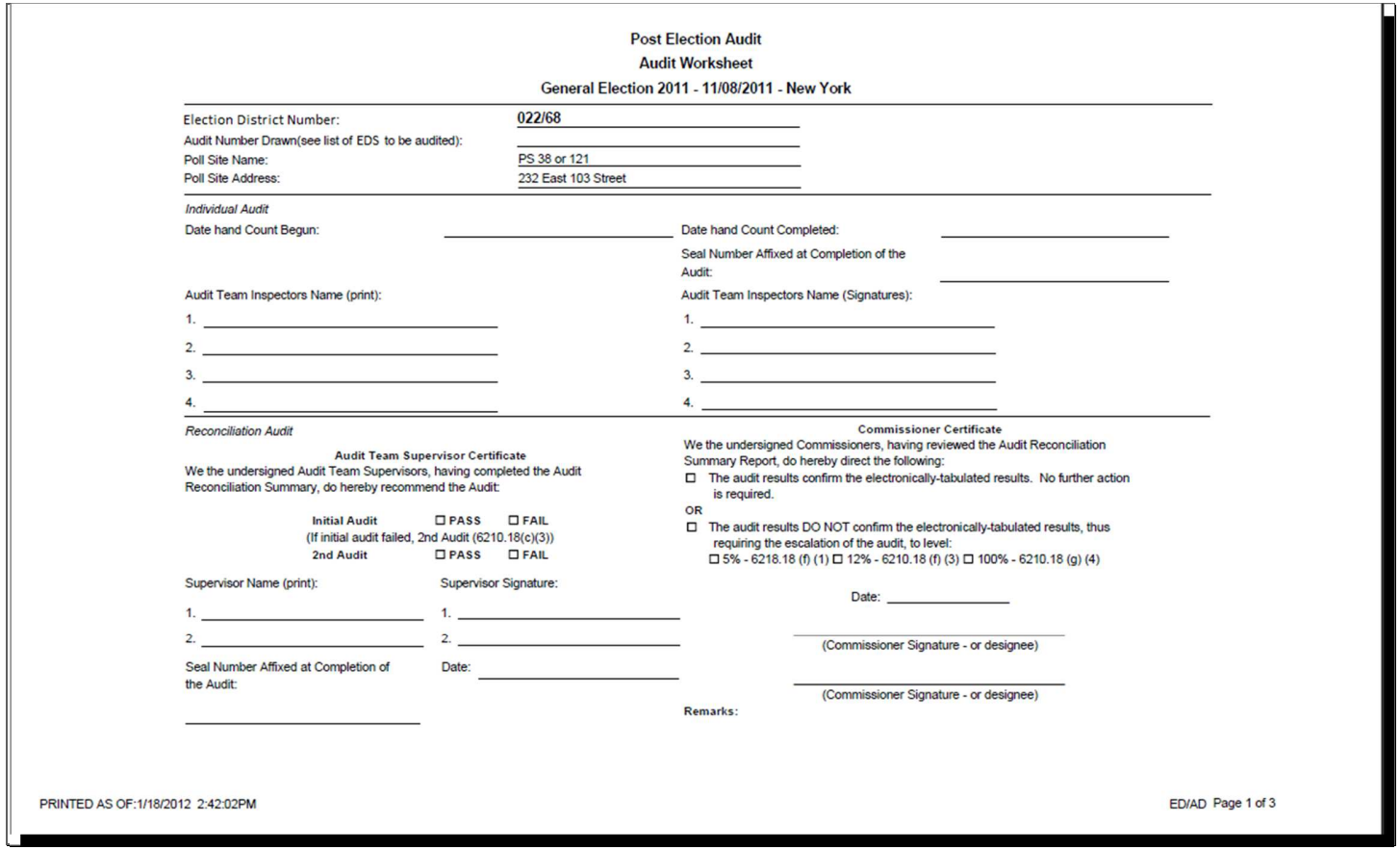
Step 1. Search for the ballots.

Step 2. Report missing ballots to Commissioners or their designees.

If a Results Report is missing:

Step 1. Search for the Results Report.

Step 2. If the Results Report is missing use the central ballot scanning system to reproduce the report. Write “Reprinted report from Central Ballot Scanning System” in the comments section of the Audit Worksheet.



Post Election Audit
Audit Worksheet
General Election 2011 - 11/08/2011 - New York

Election District Number: 022/68
Audit Number Drawn(see list of EDS to be audited):
Poll Site Name: PS 38 or 121
Poll Site Address: 232 East 103 Street

Individual Audit

Date hand Count Begun: _____ Date hand Count Completed: _____

Seal Number Affixed at Completion of the Audit: _____

Audit Team Inspectors Name (print): Audit Team Inspectors Name (Signatures):

1. _____ 1. _____
2. _____ 2. _____
3. _____ 3. _____
4. _____ 4. _____

Reconciliation Audit

Audit Team Supervisor Certificate

We the undersigned Audit Team Supervisors, having completed the Audit Reconciliation Summary, do hereby recommend the Audit:

Initial Audit ☐ PASS ☐ FAIL
(If initial audit failed, 2nd Audit (6210.18(c)(3))
2nd Audit ☐ PASS ☐ FAIL

Supervisor Name (print): Supervisor Signature:

1. _____ 1. _____
2. _____ 2. _____

Seal Number Affixed at Completion of the Audit: _____ Date: _____

Commissioner Certificate

We the undersigned Commissioners, having reviewed the Audit Reconciliation Summary Report, do hereby direct the following:

☐ The audit results confirm the electronically-tabulated results. No further action is required.

OR

☐ The audit results DO NOT confirm the electronically-tabulated results, thus requiring the escalation of the audit, to level:
☐ 5% - 6218.18 (f) (1) ☐ 12% - 6210.18 (f) (3) ☐ 100% - 6210.18 (g) (4)

Date: _____

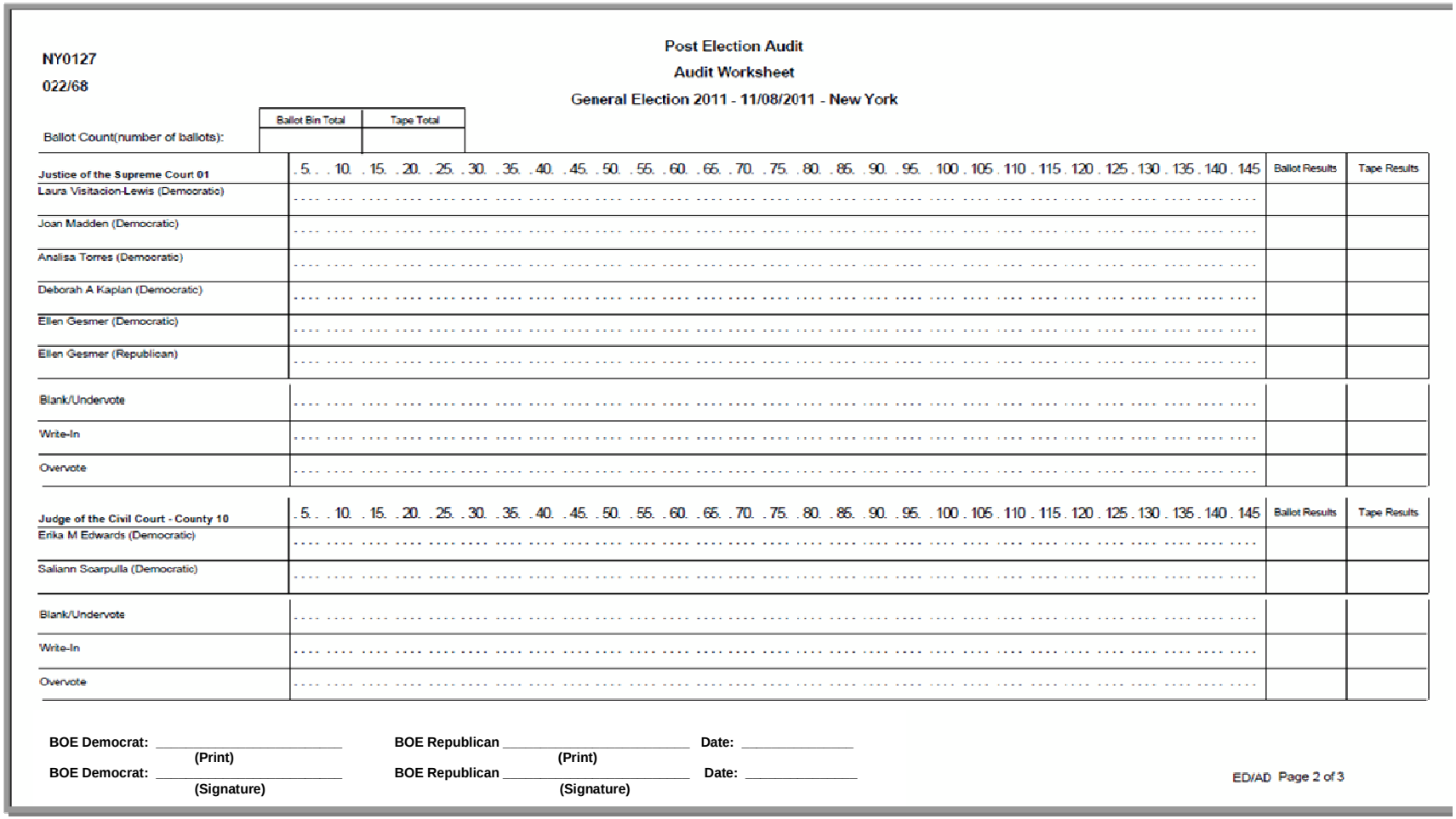
_____
(Commissioner Signature - or designee)

_____
(Commissioner Signature - or designee)

Remarks:

PRINTED AS OF:1/18/2012 2:42:02PM ED/AD Page 1 of 3

Figure 15. The Central Ballot Scanner Audit Worksheet Cover Page



NY0127
022/68

Post Election Audit
Audit Worksheet
General Election 2011 - 11/08/2011 - New York

Ballot Count(number of ballots):	Ballot Bin Total	Tape Total

Justice of the Supreme Court 01	5 . 10 . 15 . 20 . 25 . 30 . 35 . 40 . 45 . 50 . 55 . 60 . 65 . 70 . 75 . 80 . 85 . 90 . 95 . 100 . 105 . 110 . 115 . 120 . 125 . 130 . 135 . 140 . 145	Ballot Results	Tape Results
Laura Visitacion-Lewis (Democratic)			
Joan Madden (Democratic)			
Analisa Torres (Democratic)			
Deborah A Kaplan (Democratic)			
Ellen Gesmer (Democratic)			
Ellen Gesmer (Republican)			
Blank/Undervote			
Write-In			
Overvote			

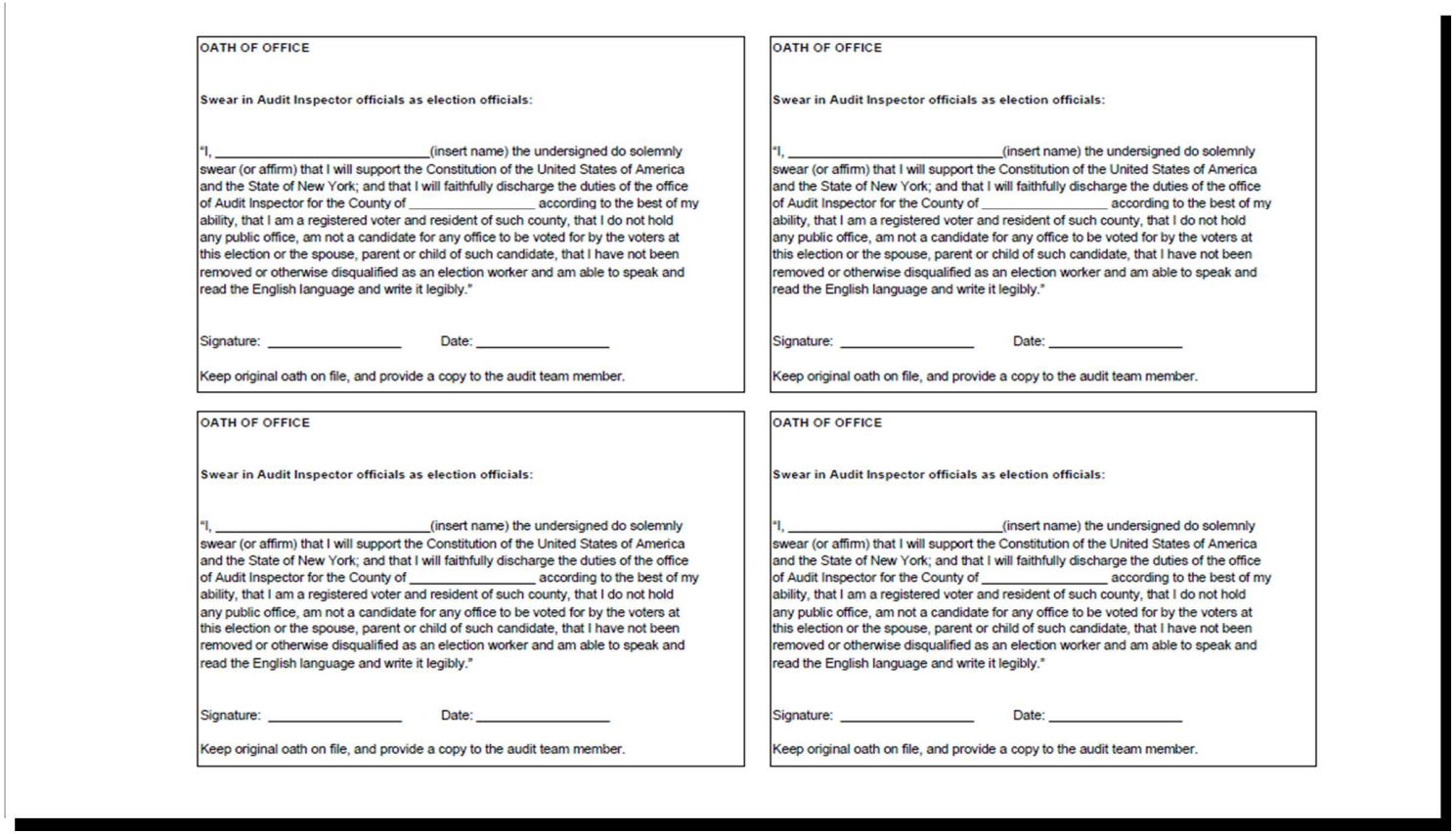
Judge of the Civil Court - County 10	5 . 10 . 15 . 20 . 25 . 30 . 35 . 40 . 45 . 50 . 55 . 60 . 65 . 70 . 75 . 80 . 85 . 90 . 95 . 100 . 105 . 110 . 115 . 120 . 125 . 130 . 135 . 140 . 145	Ballot Results	Tape Results
Erika M Edwards (Democratic)			
Saliann Scarpulla (Democratic)			
Blank/Undervote			
Write-In			
Overvote			

BOE Democrat: _____ (Print) **BOE Republican** _____ (Print) **Date:** _____

BOE Democrat: _____ (Signature) **BOE Republican** _____ (Signature) **Date:** _____

ED/AD Page 2 of 3

Figure 16. The Central Ballot Scanner Audit Worksheet



OATH OF OFFICE

Swear in Audit Inspector officials as election officials:

"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

OATH OF OFFICE

Swear in Audit Inspector officials as election officials:

"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

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Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

OATH OF OFFICE

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Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

Figure 17. The Central Ballot Scanner Audit Worksheet Certification Oath

13.6 Forms

Refer to Appendix B for the attached New York State Board of Elections document, entitled “Audit Procedure for Compliance with 6210.18.” A sample of each form is included here.

14.0 MANUAL CANVASS/RE-CANVASS OF PAPER BALLOTS

14.1 Purpose and Requirements

From their initial receipt at the borough facilities, all ballots and election materials are placed in secured storage. Senior Board officials representing each major political party in each borough have a key to one of the locks to the secured storage. Only this team of Board staff members can open the secured ballot storage area. This team also allocates the bi-partisan Board staff necessary to conduct the paper ballot canvassing. When canvassing is complete, all ballots and related documentation are returned to secured storage.

A manual re-canvass of all paper ballots for a given contest is only conducted if the following criteria are met:

- The margin of victory[1] is less than 10 votes, or 1/2 percent of the total votes cast in any particular contest where the total number of votes cast is less than 1,000,000,

OR

- The margin of victory[1] is less than 2/10 percent of the total votes cast in any particular contest where the total number of votes cast is 1,000,000 or greater.
-
- The Board will not conduct such manual re-canvass if the contest is for the offices of Delegates and Alternate Delegates to a convention.
-
- [1] The "margin of victory" shall mean the margin of victory for all votes cast for the entire contest. If a contest crosses outside of the jurisdiction of the Board of Elections in the City of New York said definition is not limited to the portion of the contest in the City of New York; rather it extends to the entire contest. (*Adopted by the Commissioners of the Board of Elections in the City of New York on September 4, 2014 by unanimous vote)*.

After the election is certified, all election materials are archived for a period of no less than twenty-four months.

As enumerated in NYS Election Law Section 9-209 (1):

> *"b. At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act."*

The purpose of this section is to provide detailed procedures for the preliminary preparations of a manual canvass of paper ballots mandated by the Commissioners of the Board of Elections in the City of New York, and a manual re-canvass of the results from paper ballots.

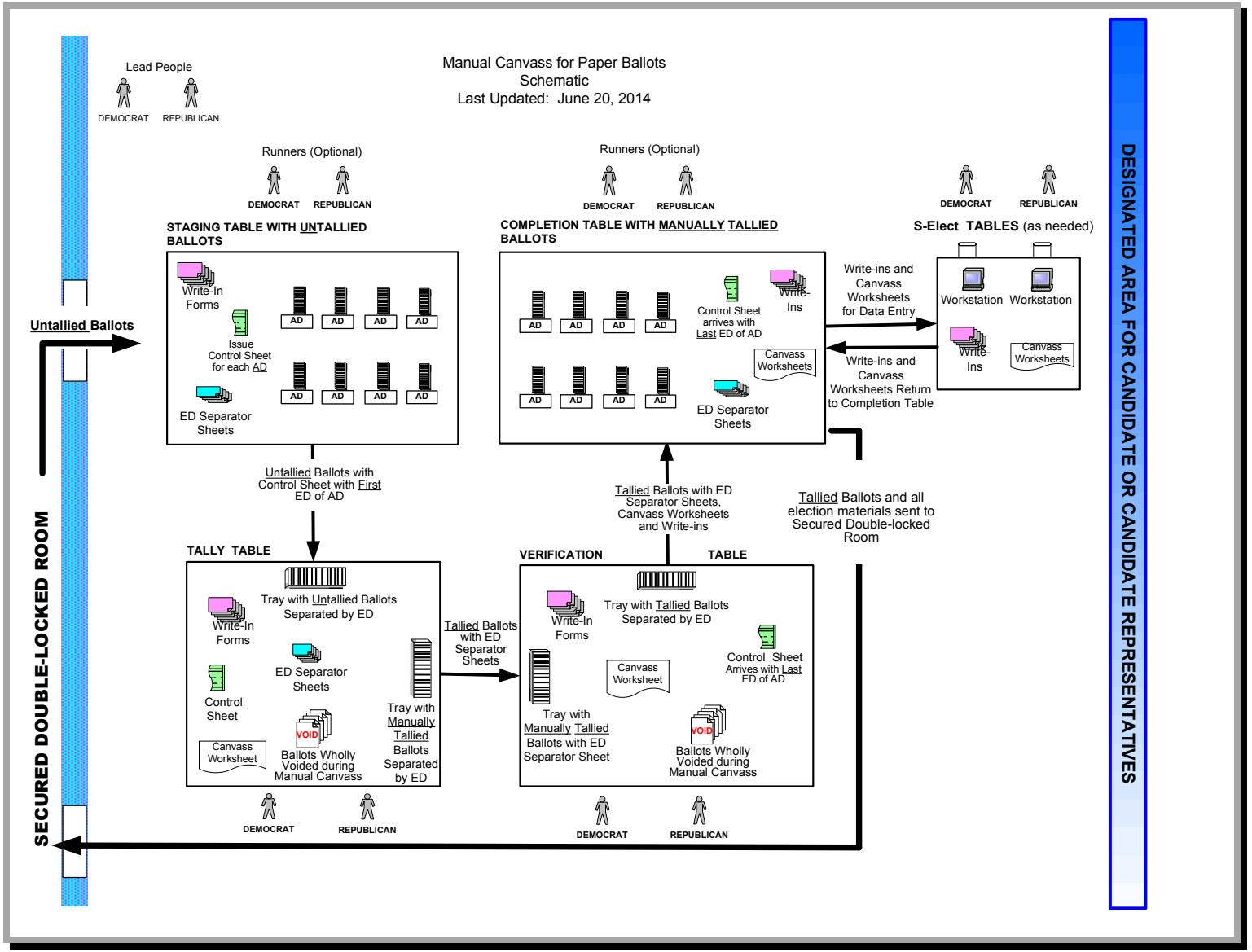
Manual Canvass/Re-Canvass of Paper Ballots Requirements

- Prior to the day of the re-canvass, Lead Persons identify a large area suitable for canvassing paper ballots using 14.2 Space and Physical Resources as a guide.
- Lead People set up a sufficient number of Staging Tables, Tally Tables, Verification Tables, Completion Tables and S-Elect Tables to canvass the ballots.
- Lead People ensure all needed supplies and forms, (i.e., Canvass Worksheets, Control Sheets, Pink Write-In Forms, etc.) are present on the relevant tables.
- Lead People or Runners bring valid paper ballots to the Staging Tables in batches by AD. As ballots are processed, Leads or Runners route ballots organized in ED order

to the Tally Table, then the Verification Table, the Completion Table and ultimately the S-Elect Table for data entry.

- As ballots move from table to table, Board canvassers track the process on ED Control Sheets.

14.2 Space and Physical Resources

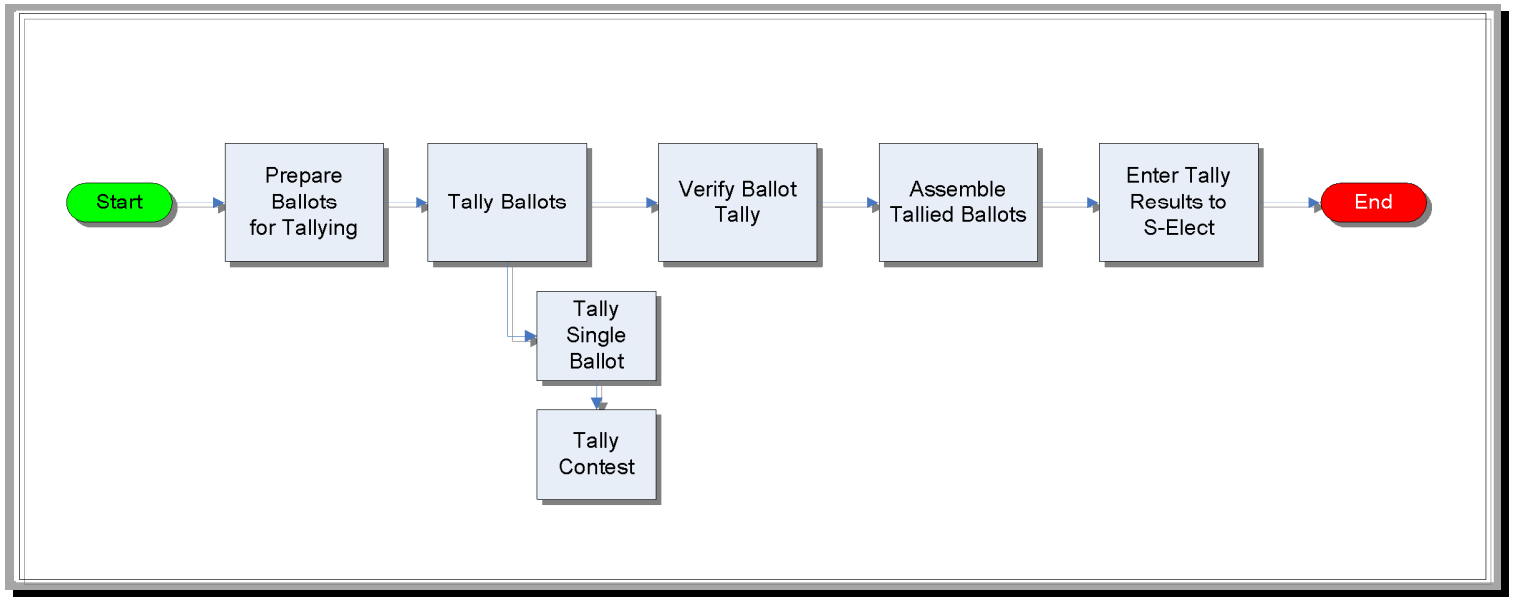


14.3 Responsible Personnel

The areas of responsibility and roles for Bi-partisan Board staff are defined as follows:

Role	Responsibility
▪ Senior Board Staff	▪ A team usually comprised of the Borough Chief and Deputy Chief responsible for access to the secured double-locked storage area for the ballots ▪ Issues are escalated to this team for approval or guidance, as needed ▪ Ensures staff are trained in the canvass procedure and allocates staff accordingly
▪ Lead People	▪ Responsible for the oversight of the canvassing process and the adherence to the canvassing procedure and preliminary protocols
▪ Tally Clerks	▪ Responsible for canvassing and re-canvassing the ballots
▪ Verification Clerks	▪ Responsible for auditing the canvass and resolving discrepancies, if any
▪ Completion Clerks	▪ Responsible for compiling, organizing and preparing tallied ballots for data entry into S-Elect and storage in secured double-locked storage area
▪ S-Elect Clerks	▪ Responsible for entering tally results into the S-Elect system
▪ Runners (Optional)	▪ Responsible for moving the ballots from one location to another

14.4 Manual Canvass/Re-Canvass of Paper Ballots Process Flow



14.5 Detailed Procedures

14.5.1 Prepare Ballots for Manual Canvass

The following guidelines govern the mandated protocols to be followed by bi-partisan Board staff prior to the commencement of the manual re-canvass of Election Day paper ballots. Bi-partisan teams of Staff assemble all ballots in location. Candidates are entitled to appoint watchers to be present during this process:

Step 1. Assemble all ballots for each Poll Site (Election Day, Unscanned Emergency, Absentee, Affidavit, Military, Special and Federal)

Step 2. Election Day Ballots are removed from each Ballot Bin Liner

A. Sort Election Day Ballots by ED/AD using ED to Style report
   i. Write the following information on the back of each Election Day Ballot in red ink:

      1. ED/AD
      2. The Letter “P”
      3. The ballot bin Liner’s Serial Number

Step 3. For all other Kinds of ballots, ensure that the following is written on each ballot in red ink and write it on each ballot if not already present:

a. ED/AD
b. The letter for each kind:
   ii. “A” for Absentee, Affidavit, Special, Federal or Presidential
   iii. “E” for Emergency

Step 4. Place all ballots from a ED/AD in to a expanded pocket file folder

a. This includes all ballots kinds (Absentee, Election Day, etc.)

Step 5. Mark each expanded pocket file folder with the ED/AD that is contained in it.

Step 6. Put each marked folder in a file box properly labeled for that Assembly District. Use as many boxes as necessary for each Assembly District.

14.5.2 Prepare Ballots for Tallying (Staging Table)

Each borough facility receives the paper ballots and stores them in a secured storage area before and after the canvass/re-canvass, as mandated by New York State Election Law. Lead People prepare all ballots for manual canvassing at the Staging Table(s). The Staging Table may have a bi-partisan team of Runners to retrieve the ballots from the secured double-locked storage area, and to bring them to the appropriate table in the room designated for canvassing.

Prepare untallied ballots for canvassing as follows:

Step 1. Retrieve a single Assembly District (AD) of ballots from the secured double-locked storage area and bring it to the Staging table. A single AD consists of a group of ballots organized by Election District (ED).

Step 2. Check every ballot within the AD to ensure it is from the proper ED/AD combination. As each ballot is checked, write the ED/AD on the ballot in red ink, if not already present. Also, write the appropriate one letter initial of the ballot kind in red ink. (A for Affidavit, E for Emergency, P for Poll site, etc.) If the ballot is not from the correct ED/AD combination, notify the Lead People.

Step 3. Assign a Control Sheet to each ED and complete the top portion of the Manual Canvass Control Sheet for Paper Ballots. Count the total number of ballots and record the total number of ballots in Column 2 of the Control Sheet. Then, in Column 6, check off the form you are sending to the Tally Clerks.

Step 4. Bring the first ED of ballots to the Tally table with the Manual Canvass Control Sheet. The Control Sheet is used as an indication of how many ballots are expected at each step and will help identify if any ballots are missing.

Step 5. As you continue to process EDs within the same AD, prepare each ED in the same manner and ensure all subsequent EDs have a completed ED Control Sheet on top of the batch of ballots. When the Tally Clerks have completed tallying an ED and are ready for another batch of ballots, bring them the next ED of the AD.

14.5.3 Manual Ballot Tally (Tally Table)

Once the ballots, along with the ED Control Sheet, are received from the Staging Table, the Tally Clerks will conduct the manual canvass of the ballots, tallying each ballot and each vote cast according to applicable rules set forth in New York State Election Law Section 9 and New York State Board of Elections Rules and Regulations Section 6210.13 and Section 6210.15. When an ED is completed, the tallied ballots for that ED are forwarded to the Verification Clerks along with the appropriate ED Separator Sheet, Canvass Worksheet, pink Write-in forms and voided ballots, if any.

14.5.3.1 Tally Paper Ballots for an Election District (ED)

Step 1. Tally the ballots for an ED as follows: Count the number of ballots received from the Staging Table and record the number in Column 7 of the Control Sheet. Compare this number to the number in Column 2 of the Control Sheet. If the numbers do not match, count the ballots a second time and compare the total number of ballots to the number in Column 2 again. If there is still a discrepancy, notify the Lead People.

Step 2. Shuffle the ballots.

14.5.3.2 Tally Single Ballot

If Watchers are present, display the ballot and allow the Watchers to view the ballot. If the Watchers challenge the ballot, immediately notify the Lead People.

Tally each ballot as follows:

Step 1. Look at the ballot and determine if there are any intentional distinguishing marks. This includes anything that would identify a ballot to a voter, such as:

- Voter signature or initials

Any distinct text or symbols that would identify the ballot to the voter Marks <u>not</u> considered intentional are:

- Dots where the voter may have left the pen unintentionally

- A smudge

Step 2. If there are intentional distinguishing marks on the ballot, void the ballot. Write "VOID" across the ballot face and cross a tick mark off in the column for "Wholly Voided Ballot" on the Canvass Worksheet.

Step 3. Determine if the voter submitted a Blank Ballot. Any ballot with no votes cast for any contest or proposal is a Blank Ballot. For each contest or proposal, cross off a tick mark in the column for Undervote for the expected number of votes for that contest or proposal.

Step 4. For example, if the contest is a vote for one, tick off one mark for Undervote in that contest, and if the contest says "Vote for 3 (Three)" tick off three marks for Undervote in that contest.

Step 5. If the ballot is not void or blank, start with the first contest listed on the ballot and go to (Section 14.6.3).

Step 6. Continue tallying each contest and proposal on the ballot until all contests and proposals have been tallied.

Step 7. When you are finished tallying all contests and proposals on the ballot, place the ballot in a stack of "Tallied" ballots, take a ballot from the stack of remaining untallied ballots and follow the same steps beginning with Step 1 of this section (Section 14.6.2).

14.5.3.3 Tally Ballot Contest

Using the Manual Canvass Worksheet, Tally Clerks review a single ballot and tally each individual contest separately. To tally a contest, Tally Clerks note the number of votes allowed for each contest so they will know the number of votes that are possible in every contest ("Vote for"). Tally Clerks cross off one tick mark on the canvass worksheet for each vote cast on a ballot. Tick marks are shown in groups of four. The fifth vote is shown with a diagonal line drawn across the four tick marks already crossed off for a candidate.

Before tallying any votes, determine the number of possible votes expected for the contest by looking at the voting instructions for that contest. If there is only one vote expected, the number of possible valid votes is one (1). If there is a vote for "x" in the instructions, the number of possible valid votes is equal to the number given in the "vote for" instructions (the "x" value).

Since the rules for tallying votes cast are drastically different when there is only one vote expected, the following section is broken into two distinct sets of rules: contests with a Vote for One and contests with a "Vote for" more than one. Considering the complexity of tallying votes cast, a quick reference guide is located in Section 14.6.6 as a visual companion for how to tally votes in a contest.

Additionally, since all contests can potentially have write-in votes, a section specifically addressing the rules of write-in votes is located in Section 14.6.7. Write-in votes will be mentioned throughout all scenarios, but for extended details on write-ins, please refer to this section.

14.5.3.3.1 VOTE FOR ONE

Step 1. Look at the votes cast for the contest including marked ovals and Write-ins. If there is more than one vote cast:

- Check for any cross-endorsements (multiple votes for the same candidate endorsed in multiple parties). If there is no cross-endorsement, the entire contest is considered over-voted because the only situation where there can be more than one vote cast is for a cross-endorsed candidate.
- Tick off one overvote for this contest in the "Overvote" column of the Canvass Worksheet. When the entire contest is VOID, the number of overvotes will equal the total number of Vote-for's.

IMPORTANT:

When an entire contest is VOID, the total number of overvotes DOES NOT equal the number of votes cast on the ballot. It must equal the number of possible valid votes for the contest.

For example, if the contest is a "Vote for One (1)" and there were two (2) votes cast, the total number of overvotes marked on the Canvass Worksheet is ONE (1), because this is the number of votes that were expected to be cast.

- If there is a valid cross-endorsement marked on the ballot, tick off a single vote for the cross-endorsed candidate on the Canvass Worksheet for left-most party that was voted on the ballot.
- For example, if the candidate was endorsed in Party A and Party C, and Party A is the left-most party on the ballot, the vote is ticked off on the Canvass Worksheet for the candidate, in Party A.

Step 2. If there is only one vote cast for the contest:

- Check the ballot for Write-in votes. If there is a write-in vote and the voted write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest, the contest is to be considered over-voted and the write-in vote is not valid. Tick off one overvote for this contest in the "Overvote" column of the Canvass Worksheet. (Note: For more specific details on write-in votes, including special Presidential instructions, see Section 14.6.7)
- If there were no write-in votes or the write-in candidate name does not exactly match a candidate name already listed on the ballot for the same contest, the vote is considered a valid cast vote. Tick off a vote for the candidate on the Canvass Worksheet in the column for the appropriate candidate.
- For a valid write-in vote, tick off a mark for "Write-In" on the Canvass Worksheet and fill out a Pink Write-In Form as specified in Section 14.6.7.

Step 3. If there are no votes cast for the contest:

- The contest is considered under-voted. Tick off one undervote for this contest in the "Undervote" column of the Canvass Worksheet.

14.5.3.3.2 VOTE FOR MORE THAN ONE

Step 1. Look at the votes cast for the contest including marked ovals and write-ins. If there are more votes cast than possible valid votes:

- Check for any cross-endorsements (multiple votes for the same candidate endorsed in multiple parties). If there are no cross-endorsements, the entire contest is considered over-voted because the only situation where there can be more votes cast than possible valid votes is when a candidate is cross-endorsed.
- Tick off the total number of overvotes for this contest in the "Overvote" column on the Canvass Worksheet. When the entire contest is VOID, the number of overvotes will equal the total number of Vote-for's.

IMPORTANT: When an entire contest is VOID, the total number of overvotes DOES NOT equal the number of votes cast on the ballot. It must equal the number of possible valid votes for the contest.

For example, if the contest is a "Vote for 3" and there were 4 votes cast, the total number of overvotes marked on the Canvass Worksheet is THREE (3), because this is the number of votes that were expected to be cast.

- If there are valid cross-endorsements marked on the ballot, a single vote for each cross-endorsed candidate is assigned to the left-most party that was voted on the ballot.

- Before actually ticking off any votes on the Canvass Worksheet, first take into account the reduction in votes cast due to cross-endorsements. After this reduction of the total number of votes cast, if the total votes cast is equal to or less than the number of expected valid votes, then tick off all valid votes for candidates on the Canvass Worksheet for the contest.

- If after taking into account the reduction in votes cast due to cross-endorsements, there are less votes cast than expected valid votes, tick off the valid votes for candidates on the ballot and tick off an equal number of undervotes to the number of possible valid votes minus the number of votes cast for this contest in the "Undervote" column of the Canvass Worksheet.

- For any valid write-in votes, tick off a mark for "Write-In" on the Canvass Worksheet and fill out a Pink Write-In Form as specified in Section 14.6.7.

- If after taking into account the reduction in votes cast due to cross-endorsements there are still more votes cast than possible valid votes, the entire contest is considered over-voted. Tick off the total number of overvotes for this contest in the "Overvote" column on the Canvass Worksheet (see "IMPORTANT" note above).

Step 2. If the number of votes cast for the contest is equal to the number of Vote-for's in the contest:

- First, check for any cross-endorsements or Write-ins. If there are none, then all votes cast for that contest are valid. Tick off a vote for each candidate on the Canvass Worksheet in the column for the appropriate candidate.

- If there is a write-in vote for the contest and the voted write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest, the contest is to be considered over-voted and the write-in vote is not valid. Tick off the total number of overvotes for this contest in the "Overvote" column on the Canvass Worksheet. When the entire contest is VOID, the number of overvotes will equal the total number of Vote-for's. (Note: For more specific details on write-in votes, see Section 14.6.7)

- If there were no write-in votes or the write-in candidate name does not exactly match a candidate name already listed on the ballot for the same contest, check for any cross-endorsements (multiple votes for the same candidate endorsed in multiple parties). If there are valid cross-endorsements marked on the ballot, a single vote for each cross-endorsed candidate is assigned to the left-most party that was voted on the ballot.

- Before actually ticking off any votes on the Canvass Worksheet, first take into account the reduction in votes cast due to cross-endorsements. After this reduction of the total number of votes cast, if the total votes cast is equal to or less than the number of expected valid votes, tick off the valid votes for candidates on the ballot and tick off an equal number of undervotes to the number of possible valid votes minus the number of votes cast for this contest in the "Undervote" column of the Canvass Worksheet.

- For any valid write-in votes, tick off a mark for "Write-In" on the Canvass Worksheet and fill out a Pink Write-In Form as specified in Section 14.6.7.

- If after taking into account the reduction in votes cast due to cross-endorsements, there are less votes cast than expected valid votes, tick off the valid votes for candidates on the ballot and tick off the number of undervotes in the Undervote column of the Canvass Worksheet.

Step 3. If the number of votes cast for the contest is less than the number of possible valid votes in the contest:

- First, check for any cross-endorsements or Write-ins. If there are none, then all votes cast for that contest are valid. Tick off a vote for each candidate on the Canvass Worksheet in the column for the appropriate candidate. Also, tick off an equal number of undervotes to the number of possible valid votes minus the number of votes cast for this contest in the "Undervote" column of the Canvass Worksheet.

- For example, if the contest is a "Vote for Three (3)" and there were only two (2) votes cast, two (2) votes would be ticked off for the appropriate candidates and one (1) undervote would be ticked off in the "Undervote" column for the Canvass Worksheet.

- If there is a write-in vote for the contest and the voted write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest, the contest is to be considered over-voted and the write-in vote is not valid. Tick off the total number of overvotes for this contest in the "Overvote" column on the Canvass Worksheet. When the entire contest is VOID, the number of overvotes will equal the total number of Vote-for's. (Note: For more specific details on write-in votes, see Section 14.6.7)

- If there were no write-in votes or the write-in candidate name does not exactly match a candidate name already listed on the ballot for the same contest, check for any cross-endorsements (multiple votes for the same candidate endorsed in multiple parties). If there are valid cross-endorsements marked on the ballot, a single vote for each cross-endorsed candidate is assigned to the left-most party that was voted on the ballot.

- Before actually ticking off any votes on the Canvass Worksheet, first take into account the reduction in votes cast due to cross-endorsements. After this reduction of the total number of votes cast, if the total votes cast is equal to or less than the number of expected valid votes, then tick off all valid votes for candidates on the Canvass Worksheet for the contest.

- For any valid write-in votes, tick off a mark for "Write-In" on the Canvass Worksheet and fill out a Pink Write-In Form as specified in Section 14.6.7.
- If after taking into account the reduction in votes cast due to cross-endorsements, there are less votes cast than expected valid votes, tick off the valid votes for candidates on the ballot and tick off an equal number of undervotes to the number of possible valid votes minus the number of votes cast for this contest in the "Undervote" column of the Canvass Worksheet.

14.5.3.4 Tally Single Ballot (continued)

Step 1. Continue tallying each contest and proposal on the ballot until all contests and proposals have been tallied.

Step 2. When you are finished tallying all contests and proposals on the ballot, place the ballot in a stack of "Tallied" ballots, take a ballot from the stack of remaining untallied ballots and go back to Step 1 of Section 14.6.3.

14.5.3.5 Tally Paper Ballots for an Election District (ED) (continued)

Step 1. Once you have tallied all ballots from a single ED, record the number of ballots you are sending to the Verification Table in Column 10 of the Control Sheet. Then, in Column 14 of the Control Sheet, check off the forms you are sending to the Verification Table. Each Clerk must sign the Control Sheet in the slot for Dem or Rep before passing any materials off to the next table.

Step 2. Hand off the ballots to the Verification Clerks with the ED Control Sheet, pink Write-in sheets and any voided ballots.

14.5.3.6 MANUAL TALLY QUICK REFERENCE GUIDE

VOTE FOR ONE SCENARIOS

MORE VOTES CAST than POSSIBLE VALID VOTES

SCENARIO: CROSS-ENDORSEMENT

Result: Valid Cross-Endorsement, a single vote for the cross-endorsed candidate is ticked off on the Canvass Worksheet for left-most party that was voted on the ballot.

Contest Name	DEM	REP	IND	Write-In
	X Candidate A	Candidate B	**X Candidate A**	

SCENARIO: VOTES FOR MORE THAN ONE CANDIDATE

Result: Contest is considered over-voted and a total of one (1) overvote ticked off on tally sheet for the contest

Contest Name	DEM	REP	IND	Write-In
	X Candidate A	**X Candidate B**	**X Candidate C**	

SCENARIO: WRITE-IN VOTE FOR A CANDIDATE NAME ALREADY LISTED ON THE BALLOT

Result: Contest is considered over-voted and a total of one (1) overvote ticked off on tally sheet for the contest

Contest Name	DEM	REP	IND	Write-In
	X Candidate A	Candidate B	Candidate C	**X** *Candidate A*

EQUAL NUMBER OF VOTES CAST to POSSIBLE VALID VOTES

SCENARIO: ONE VOTE CAST

Result: Valid Vote, tick off a vote for the candidate on the Canvass Worksheet in the column for the appropriate candidate

Contest Name	DEM	REP	IND	Write-In
	X Candidate A	Candidate B	Candidate C	

LESS VOTES CAST than POSSIBLE VALID VOTES

SCENARIO: NO VOTES CAST

Result: Undervote, tick off one undervote for this contest in the "Undervote" column of the Canvass Worksheet.

Contest Name	**DEM**	**REP**	**IND**	Write-In
	Candidate A	Candidate B	Candidate C	

VOTE FOR "X" SCENARIOS (WHEN X IS MORE THAN ONE)

All scenarios below use "VOTE FOR THREE" for demonstration

MORE VOTES CAST than POSSIBLE VALID VOTES

SCENARIO: VOTES CAST FOR MORE THAN THREE (3) CANDIDATES

Result: Contest is considered over-voted and a total of three (3) overvotes ticked off on tally sheet for the contest

Contest Name	**DEM**	**REP**	**IND**	**CONS**	**WFP**	Write-In
	X Candidate A	Candidate B	**X Candidate C**	Candidate D	Candidate E	
	Candidate F	**X Candidate G**	Candidate H	Candidate I	Candidate J	
	X Candidate K	Candidate L	Candidate M	Candidate N	Candidate O	

SCENARIO: WRITE-IN VOTE FOR CANDIDATE NAME ALREADY ON THE BALLOT

Result: Contest is considered over-voted and total of three (3) overvotes ticked off on tally sheet for the contest

Contest Name	**DEM**	**REP**	**IND**	**CONS**	**WFP**	Write-In
	X Candidate A	Candidate B	Candidate C	Candidate D	Candidate E	**X** ***Candidate a***
	X Candidate F	Candidate G	Candidate H	Candidate I	Candidate J	
	X Candidate K	Candidate L	Candidate M	Candidate N	Candidate O	

EQUAL NUMBER OF VOTES CAST TO POSSIBLE VALID VOTES

SCENARIO: THREE (3) VOTES CAST FOR THREE (3) DIFFERENT CANDIDATES

Result: All votes cast are valid, tick off a vote for each candidate on the Canvass Worksheet in the column for the appropriate candidate

	DEM	REP	IND	CONS	WFP	Write-In
Contest Name	Candidate A	**X Candidate B**	Candidate C	Candidate D	Candidate E	
	Candidate F	**X Candidate G**	Candidate H	Candidate I	Candidate J	
	Candidate K	**X Candidate L**	Candidate M	Candidate N	Candidate O	

SCENARIO: THREE (3) VOTES CAST, ONE OF WHICH IS A WRITE-IN VOTE FOR A CANDIDATE NAME ALREADY ON THE BALLOT

Result: Contest is considered over-voted and a total of three (3) overvotes ticked off on tally sheet for the contest

	DEM	REP	IND	CONS	WFP	Write-In
Contest Name	Candidate A	**X Candidate B**	Candidate C	Candidate D	Candidate E	**X *Candidate B***
	Candidate F	**X Candidate G**	Candidate H	Candidate I	Candidate J	
	Candidate K	**Candidate L**	Candidate M	Candidate N	Candidate O	

SCENARIO: THREE (3) VOTES CAST, ONE OF WHICH IS A WRITE-IN VOTE FOR A CANDIDATE NAME NOT ALREADY ON THE BALLOT

Result: All votes cast are valid, tick off a vote for each candidate on the Canvass Worksheet in the column for the appropriate candidate and tick off a vote in the write-in column for the contest; a pink sheet is filled in for the write-in vote

	DEM	REP	IND	CONS	WFP	Write-In
Contest Name	Candidate A	**X Candidate B**	Candidate C	Candidate D	Candidate E	**X** *Candidate Z*
	Candidate F	**X Candidate G**	Candidate H	Candidate I	Candidate J	
	Candidate K	**Candidate L**	Candidate M	Candidate N	Candidate O	

LESS VOTES CAST than POSSIBLE VALID VOTES

SCENARIO: ONLY TWO (2) VOTES CAST FOR THE CONTEST

Result: Contest is considered under-voted, valid votes are ticked off for the voted candidates and a total of one (1) undervote is ticked off on the tally sheet for the contest

	DEM	REP	IND	CONS	WFP	Write-In
Contest Name	Candidate A	Candidate B	**X Candidate C**	Candidate D	Candidate E	
	Candidate F	Candidate G	**X Candidate H**	Candidate I	Candidate J	
	Candidate K	Candidate L	Candidate M	Candidate N	Candidate O	

SCENARIO: ONLY TWO (2) VOTES CAST FOR THE CONTEST, ONE OF WHICH IS A WRITE-IN VOTE FOR A CANDIDATE NAME ALREADY ON THE BALLOT

Result: Since a candidate cannot be written in if already on the ballot, the entire contest is void and considered over-voted. A total of three (3) overvotes ticked off on tally sheet for the contest

	DEM	REP	IND	CONS	WFP	Write-In
Contest Name	Candidate A	Candidate B	**X Candidate C**	Candidate D	Candidate E	**X** *Candidate C*
	Candidate F	Candidate G	Candidate H	Candidate I	Candidate J	
	Candidate K	Candidate L	Candidate M	Candidate N	Candidate O	

14.5.3.7 Capturing Write-In Votes for Entry to S-Elect

Step 1. When a write-in vote is found, follow the established rules for write-ins to ensure it is valid for the contest:

Step 2. If the voted write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest, the contest is to be considered over-voted and the write-in vote is not valid. The write-in vote is not recorded on the pink write-in form and is therefore not entered into S-Elect.

NOTE: In Presidential contests, if the write-in name matches a Presidential candidate already on the ballot, the vote is assigned to the candidate in the left-most party.

Step 3. If the voted write-in candidate name closely resembles a candidate name already listed on the ballot for the same contest, but does not exactly match, it will be considered temporarily valid and a pink write-in form will be filled out for this candidate. A final determination will be made at a later time as to whether the write-in vote is valid, when the normalization of names occurs during input to S-Elect.

Step 4. If the voted write-in candidate does not match a candidate name already listed on the ballot for the same contest, and there are not more votes cast than possible votes for the contest, the write-in vote is considered valid.

NOTE: To determine the number of possible valid votes in the contest, look at the voting instructions. If there is only one vote expected, the number of possible valid votes for the contest is one (1). If the contest is a "vote for x," the number of possible valid votes is equal to the "vote for x" number given in the instructions.

Step 5. For any write-in names that are valid, record the ED/AD, ballot kind, party, office, image filename and write-in name on the pink Write-in form. Take care to record the name exactly as it appears on the ballot on a new pink write-in sheet for the ballot. Decisions regarding the normalization of names will be made later in the process by Board staff who enter the write-in names into the ***S-Elect*** system.

14.5.4 Verify Manual Ballot Tally (Reconciliation Table)

14.5.4.1 Verify the Ballot Tally

Once all ballots from a single ED are tallied, Tally Clerks send the ballots for that ED along with the ED Control Sheet and Canvass Worksheet to the Verification Table. Verification Clerks tally the ballots again and verify the totals against the totals on the ED Control Sheet and Canvass Worksheet for accuracy ED by ED. Using Section 14.6 as a guide for how to tally ballots, they complete a second review of the ballots from each ED. As they complete an ED, they forward it to the Completion Table.

Step 1. For each ED, count the number of ballots, write this number in Column 15 and compare this number to the amount shown on the ED Control Sheet in Column 10. If the numbers do not match, notify the Lead People.

Step 2. If the total number of ballots received matches the number shown on the ED Control Sheet, tally all ballots from the ED using Section 14.6 as a guide for tallying.

Step 3. Once this second review of all ballots in the ED is complete, compare the total tallies for each contest and note anywhere where there are discrepancies between the original tally and the verification tally. Notify the Lead People of any discrepancies and the Lead People will decide the next steps for resolving the discrepancies.

Step 4. Once all contests have been verified and all totals match between the original tally and the verification tally, look at the Canvass Worksheet and add up the tick mark totals for each contest on the ballot. Compare this total to the expected number of Vote-for's and these two numbers should be the same.

PLEASE NOTE: The expected number of Vote-for's will be equal to the number of valid ballots cast, multiplied by the number of valid votes per ballot (determined in the "Tally Contest" process). No individual candidate can have more votes than ballots cast.

EXAMPLE: If there are a total of 1500 valid ballots, and 10 valid votes per ballot, the total number of expected valid votes would equal 15,000. This is why every vote cast is tracked, including undervotes, overvotes, and Write-ins.

Step 5. If there are more (or less) tick marks on the Canvass Worksheet than expected valid votes, notify the Lead People.

Step 6. If the number of total tick marks counted is equal to the number of valid expected votes, record the number of ballots you are sending to the Completion Table in Column 18 of the Verification Table section of the ED Control Sheet. Then, in Column 22 check off the forms you are sending to the Completion Table. Send the verified ballots, the Canvass Worksheet, the ED Control Sheet, and the pink write-in sheet to the Completion Table.

14.5.5 Assemble Tallied Ballots (The Completion Table)

14.5.5.1 Assemble Tallied Ballots for Entry to S-Elect and Storage/Archiving

Completion Clerks receive all ballots from the Verification Table and assemble the Canvass Worksheets and pink Write-in forms to prepare them for distribution to the S-Elect Table. Ballots are held at this table in batches until the Canvass Worksheets and pink Write-in forms are entered into S-Elect and then returned to the Completion Table. Completion Clerks then re-assemble the Canvass Worksheets and pink Write-in forms with the corresponding ballot batches. They then package and prepare the ballots and all related material for subsequent distribution to the secured double-locked storage area. Paper ballots and all election materials are ultimately archived for no less than two years.

Step 1. When you receive a verified ED, count the number of ballots, enter the total in Column 23 and compare this number to the amount shown on the ED Control Sheet in Column 18.

Step 2. If the numbers do not match, check with the Verification Clerks to find out if any ballots may have been misplaced prior to arriving at the Completion Table.

Step 3. If the missing ballot(s) is/are not found, notify the Lead People.

Step 4. Until the last ED of the AD arrives, consolidate all materials from the ED with any other EDs from that AD and transcribe the totals from the ED Control Sheet on to the master AD Control Sheet for review once the final ED arrives.

Step 5. Once the last ED arrives, check the AD Control Sheet for the total number of expected EDs and ballots. If there are the correct number of EDs and the ballot counts match, then continue on to the next step. If the numbers do not match, notify the Lead People

Step 6. After the ED is validated against the Control Sheet, send the Canvass Worksheet and any pink Write-in sheets to the S-Elect table for entry into the election management system, S-Elect. Fill out the “Completion Table 1” section in the Manual Canvass Control Sheet. Keep the paper ballots at the Completion Table in ED batches until the S-Elect Table returns the documentation. Each ballot ED batch has the accompanying ED Control Sheet with it.

Step 7. When the canvass worksheets and pink Write-in sheets return from the S-Elect table, re-assemble the ballot batches with the corresponding documentation. Fill out the “Completion Table 2” section in the Manual Canvass Control Sheet.

Step 8. Package and send all materials, (i.e., voted ballots, unused ballots, Control Sheets, ED Separator Sheets, Canvass Worksheets, etc.) to the Secured Double-Locked storage area for no less than two years storage.

14.5.6 Enter Results to S-Elect (The S-Elect Table)

14.5.6.1 Reporting Results

The S-Elect Clerks receive the Canvass Worksheets and pink Write-in forms by ED from the Completion Table and enter the data into the Board's Election Management System, S-Elect. After the Data has been entered into S-Elect, the Canvass Worksheets and pink Write-in forms are returned to the Completion Table to be re-assembled with the corresponding ballots. All material is subsequently stored and archived for no less than two years in the secured storage area.

14.5.6.2 Input Results into S-Elect

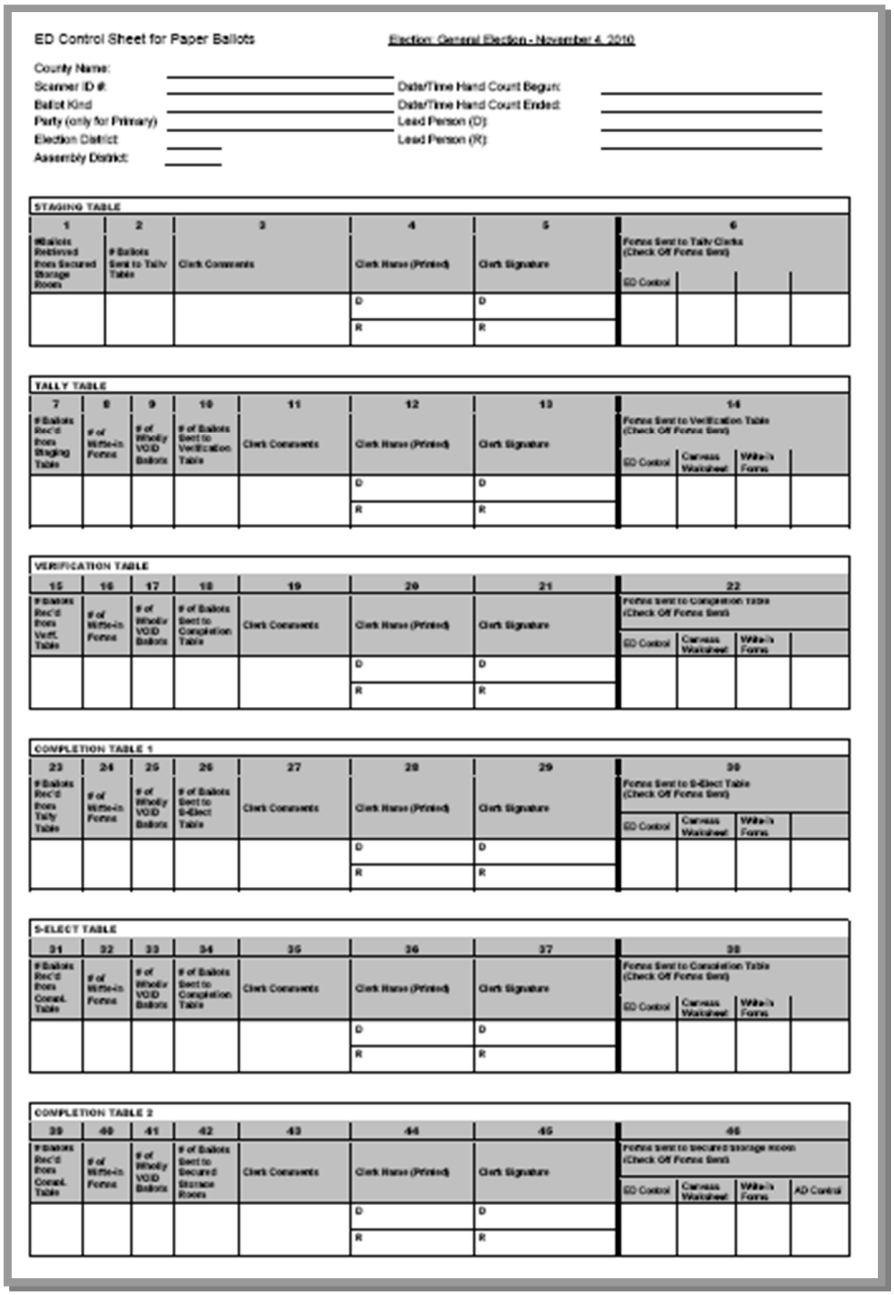
S-Elect Team key enters Canvass results into S-Elect immediately as each poll site is completed.

Note: Refer to S-Elect manual for instructions on how to enter Re-Canvass data into S-Elect.

14.6 Forms

14.6.1 ED Control Sheet

The ED Control Sheet is used to track the ballots along each step of the manual tally process and to ensure that all materials are accounted for at all times.



ED Control Sheet for Paper Ballots

Election: General Election - November 4, 2010

County Name:
Scanner ID #:
Ballot Kind
Party (only for Primary)
Election District
Assembly District:

Date/Time Hand Count Began:
Date/Time Hand Count Ended:
Lead Person (D):
Lead Person (R):

STAGING TABLE

1	2	3	4	5	6			
#Ballots Retrieved from Secured Storage Room	# Ballots Sent to Tally Table	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to Tally Clerks (Check Off Forms Sent)			
					ED Control			
			D	D				
			R	R				

TALLY TABLE

7	8	9	10	11	12	13	14			
# Ballots Rec'd from Staging Table	# of Write-in Forms	# of Wholly VOID Ballots	# of Ballots Sent to Verification Table	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to Verification Table (Check Off Forms Sent)			
							ED Control	Canvass Worksheet	Write-in Forms	
					D	D				
					R	R				

VERIFICATION TABLE

15	16	17	18	19	20	21	22			
# Ballots Rec'd from Verif. Table	# of Write-in Forms	# of Wholly VOID Ballots	# of Ballots Sent to Completion Table	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to Completion Table (Check Off Forms Sent)			
							ED Control	Canvass Worksheet	Write-in Forms	
					D	D				
					R	R				

COMPLETION TABLE 1

23	24	25	26	27	28	29	30			
# Ballots Rec'd from Tally Table	# of Write-in Forms	# of Wholly VOID Ballots	# of Ballots Sent to S-Elect Table	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to S-Elect Table (Check Off Forms Sent)			
							ED Control	Canvass Worksheet	Write-in Forms	
					D	D				
					R	R				

S-ELECT TABLE

31	32	33	34	35	36	37	38			
# Ballots Rec'd from Const. Table	# of Write-in Forms	# of Wholly VOID Ballots	# of Ballots Sent to Completion Table	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to Completion Table (Check Off Forms Sent)			
							ED Control	Canvass Worksheet	Write-in Forms	
					D	D				
					R	R				

COMPLETION TABLE 2

39	40	41	42	43	44	45	46			
# Ballots Rec'd from Const. Table	# of Write-in Forms	# of Wholly VOID Ballots	# of Ballots Sent to Secured Storage Room	Clerk Comments	Clerk Name (Printed)	Clerk Signature	Forms Sent to secured storage room (Check Off Forms Sent)			
							ED Control	Canvass Worksheet	Write-in Forms	AD Control
					D	D				
					R	R				

A Canvass Worksheet is created for each Election District that is tallied by hand (where appropriate)

Manual Canvass Worksheet – SAMPLE

Election Name: General Election - November 4, 2010

County Name:	Queens	Party (only for Primary):		Ballot Kind:	
Scanner ID #:	00005				
Assembly District:	10	Canvassed By:	Clerk Name (D):	Date Canvass Begun:	11/15/10
Election District:	12		Clerk Name (R):	Date Canvass Ended:	11/20/20

Contest A	Tally	.5 .. .10 .. .15 .. .20 .. .25 .. .30 .. .35 .. .40 .. .45 .. .50 ..	COMMENTS/EXCEPTIONS
Candidate 1	15		
Candidate 2	10		
Overvote	0		
Undervote	5		
Write-in	2		
Void			
Total Votes	42		
Contest B	**Tally**	**.5 .. .10 .. .15 .. .20 .. .25 .. .30 .. .35 .. .40 .. .45 .. .50 ..**	
Candidate 3			
Candidate 4			
Overvote			
Undervote			
Write-in			
Void			
Total Votes			
Contest C	**Tally**	**.5 .. .10 .. .15 .. .20 .. .25 .. .30 .. .35 .. .40 .. .45 .. .50 ..**	
Candidate 5			
Candidate 6			
Overvote			
Undervote			
Write-in			
Total Votes			

Figure 18. The Manual Canvass Worksheet

15.0 CANVASS OF ABSENTEE/MILITARY/SPECIAL, AFFIDAVIT, PRESIDENTIAL, AND FEDERAL BALLOTS

15.1 Purpose and Requirements

The Board's canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots takes place on a date chosen by the Commissioners, usually one week after the election.

From the initial receipt of the ballots, they are kept in a double locked secured storage location. They are stored in a room, the Ballot Storage Area, only accessible through a door that is locked with two distinct locks requiring different keys. The senior Democratic and Republican officials in each borough each have a key to one of the locks. The door can be opened and the ballots accessed only by a team of Board staff representing each of the major political parties.

The Board conducts the canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots utilizing a central ballot scanning system. However, in those instances where only one contest appears on any of these paper ballots, the Borough Commissioners are authorized to direct that a manual canvass/re-canvass of any of these paper ballots be conducted, if they determine that it would be more efficient to conduct the canvass/re-canvass in that manner. The following presents the details of the canvass process.

The purpose of this section is to provide detailed procedures to about the manual canvassing of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots.

Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots

Requirements

Each borough has three scanning systems (two in Staten Island). Each scanning system is composed of:

- Ballot scanner
- TeamWork PC [CPU, monitor, keyboard, TeamWork software (installed)]
- Printer
- Associated cables
- TeamWork User Guide
- NCS Scanner Manual
- Board of Elections Scanner Maintenance Log

15.2 Maintenance of Canvass Equipment and Forms

15.2.1 Scanning System Equipment

Vote counting equipment used by counties in New York State is certified by the New York State Board of Elections. The optical scanning system used in New York City operates via a software product called TeamWork, and utilizes NCS Opscan 6 scanners. The integrated system has been certified by the NYSBOE and meets the technical specifications required by that certification process.

The systems are stored in a secured storage area of the borough office throughout the year. The components of the systems are not used for Board applications other than the paper ballot canvass. Prior to the election, the systems are removed from storage and maintenance activities are performed.

The scanners are serviced via maintenance provisions in the contract that the Board has with the provider of the scanning systems. The PCs, printers and cables are maintained in-house.

- Maintaining the Scanning Systems
- Scanners
- Once a year, prior to the Primary election, the TeamWork Administrator schedules preventive maintenance for the scanners. Also, during use, if any difficulties develop with a scanner, a maintenance call may be requested by the TeamWork Administrator or by the borough paper ballot Lead Person(s). A maintenance log is kept at each borough, documenting all maintenance and testing activities in accordance with New York State Board of Elections Rules and Regulations.
- During May, July or August, the borough paper ballot Lead Person(s) remove the scanning systems from storage and set them up in an area where they can be checked by the maintenance contractor. If any components are missing, they forward a request for replacement to the General Office.
- The TeamWork Administrator in the EVS Department schedules preventive maintenance with the vendor. The vendor maintenance technician records the steps of the procedure and any work performed on a tracking sheet. The borough Lead Person(s) record the

activity in the Scanner Maintenance Log and attach a copy of the vendor tracking sheet. (See the procedure for completing the Maintenance Log below.)

- If difficulties develop with a scanner during the tally, the Lead Person calls the maintenance company and requests a maintenance service call. The Lead Person records the request in the Maintenance Log and also records the subsequent service call in the log. If assistance is needed, the Lead Person contacts the TeamWork Administrator.

TeamWork PCs and Printers

- The Lead Persons check the TeamWork PCs, printers and cables to ensure that all components are accounted for, and that everything is functioning.
- They turn on the PCs and check that the PC powers up.
- They put paper in the printer. To test the printer, at the C-prompt, they type "type c:\test.txt> ltp1" and press ENTER. If the printer does not function, they check the cabling. If the printer functions but the text does not print or does not print clearly throughout the whole page, they replace the toner cartridge.

15.2.2 Maintaining The Scanner Maintenance Log

Each borough keeps a log of all activities for each scanner. Copies of the logs are kept by the TeamWork Administrator in the EVS Department. The borough's log is kept with the scanner it tracks. The log is stored with the scanning system during the year, and it is kept near the scanner during use.

- The log is on pages that are kept in a binder that is divided and labeled with the scanner serial number. The pages of the log are formatted to record:

the election name and date

date of the activity

time of the activity

description of activity

name of the person making the entry

- In addition to any other activities the Lead Persons wish to record in the log, the following activities must be recorded in the Maintenance Log for each scanner:

Delivery Date (Addition to Fleet)
Acceptance Testing
Preventive Maintenance
Pre-Election Test
Public Test

Day of Tally Test

System Number Assigned to this Scanner for this Election

Tally Started (List ADs)

Maintenance Service Requests (If any)

Maintenance Service Calls (If any)

Tally Ended (List ADs)

Returned to vendor (If this occurs)

- Attach the scanning station label after the last entry.
- After each election, a copy of new entries is forwarded by the Lead Persons to the TeamWork Administrator.

15.2.3 Production Of Canvass Forms

Various forms and labels are used during the paper ballot canvass to route ballots, document steps and track the process. The forms are:

- Paper Ballot Control Sheets (white)
- Paper Ballot Control Sheets for Emergency Ballots (white)
- Batch Header Sheets
- Scanning Sheets (blue)
- Write-in Forms (pink)
- Original Ballot Forms (yellow)
- Scanner-Refused Forms (gray)
-

Control Sheets are used to track, by ED, the processing and disposition of all ballots from the determination of validity of the envelope in the Batching Area to the tallying of the ballot in the TeamWork System. A set is made for each AD (for each Party in a Primary) with all active EDs pre-printed on the sheets of each set. The control sheets are produced by the TeamWork Administrator in the EVS Department at the general office. This task is performed after the needed files are generated in the Board's computer systems. The procedures for this are found in the TeamWork Administrator's Manual.

The Batch Header Sheets are ordered by the TeamWork Administrator in the EVS Department. The Header Sheets are used during the scanning process to identify groups of ballots: Ballots are run though the scanner in batches by ED. A Batch Header Sheet is placed at the beginning of each batch. Batch Header sheets are preprinted with information that identifies to the system the batch of ballots to follow.

As soon as details of an upcoming election are known, and the relevant files are finalized in the Board's computer systems, the related number and type of Batch Header Sheets are determined. (See the TeamWork User Guide for information about Batch Header Sheets.) Generally, two HH sets are ordered, one set for emergency ballots and one set for all other ballots. Blank Header Sheets are ordered to keep sufficient blank stock on hand for use in test decks and as replacements for damaged Sheets.

When Batch Header Sheets are delivered at the borough offices, they are checked for accuracy. The borough Lead People visually examine the pre-printed Header Sheets to confirm that each set ordered was delivered. They confirm that Headers for all relevant ADs and all relevant Parties (if a Primary) were delivered. The Lead People then confirm the accuracy of the Header Sheets by scanning them, using the instructions in section 15.7 Instructions and Forms. They complete their processing of the Header Sheets by retaining them in the order in which they will be used during the batching process.

Note that if a batch of ballots is to be scanned and no Batch Header Sheet is available, the data that would have been scanned from the Header Sheet can be key entered directly into the system via the keyboard prior to scanning the batch. The format is as follows:

"HH, Lot number as three digits, ED as three digits, AD as two digits, a blank space, the letter "V". As applicable, HU, HR, or HD are substituted when needed.

The TeamWork Administrator receives the Borough's requests for the rest of the forms and places the order with the Procurement Department at the general office. This is done prior to the onset of the election season.

The Blue Scanning Sheets are used to document, by ED, the number of ballots sent to the scanners, the number scanned, and the number, if any, that will be entered manually.

The Pink Write-in Forms are used to record write-in names so that they can be entered into the Board's central election management system (S-Elect). Ballots with write-ins are scanned; the write-in names, however, are not sensed by the scanners -- which sense only the marked ovals; therefore, the names are entered directly into S-Elect according to the Board's authorized procedures.

The Yellow Original Ballot Form is used to identify a ballot that has been duplicated because it is damaged and cannot be scanned, or because it was transferred in its envelope to the ED batch for which the voter is registered, and the ballot is not the same Lot as that batch, and therefore cannot be scanned. The duplicate ballot will be scanned in its place, and the original ballot will be securely retained.

The Gray Scanner-Refused Forms are used at the scanning table to identify the few ballots that were not identified prior to scanning as being damaged, or as being a ballot of a Lot different from the batch being scanned. The gray form identifies the ballot as one that requires manual entry.

Illustrations of the forms are provided in section 15.7 Instructions and Forms.

15.3 Testing the Canvass Scanning Systems

The scanning system be tested for each election within twenty days prior to the day designated by the Board for the counting of paper ballots. In this Pre-election Test, all of the scanning systems are tested. The ballots that are used for the test are drawn from the same run of ballots that will be used in the election. The only difference in the ballots is that the word TEST is printed across the ballot. The Ballot Coordinator orders the test ballots. The number of ballots to test for each Lot is determined by using a formula designed by the State Board of Elections.

The formula factors in the number of contests in the Lot and the number of candidates in the contest with the highest number of candidates. Borough staff members cast votes on the test ballots using the patterns developed by the State Board of Elections. The patterns are designed to test every active cell location, and to provide pre-determined results that can be easily recognized and verified. Borough staff prepares the absentee test ballots prior to each election.

Prior to each Election, the test is conducted. The borough Commissioners or their representatives certify that they have reviewed and verified the results of said testing. The borough staff then reserves in secured storage the test ballots and reports. They will be used for future repeat testing and comparison.

The Board's Candidate Record's Unit notifies candidates when a public demonstration of the test will be conducted. The test is scheduled for each borough prior to each election. One representative of each political party and one representative of each candidate whose name appears on the ballot is entitled to be present at the test. The same test ballots or portion of them is used and the test is repeated on every scanning system. The Commissioners or their representatives again certify that they have reviewed and verified the results. Borough staff reserve in secured storage the ballots and reports for future repeat testing.

Immediately preceding the tally, the system is tested again by running the test ballots a third time. The results are compared against the two prior test results. The Commissioners or their representatives certify that they have reviewed and verified the comparison of the test data before the official tabulation of ballots is conducted. It is, therefore, only after this Pre-election Testing has been performed for the third time and the results verified to show that they are consistently the same, that the scanning systems are used to scan ballots from the election.

Immediately following the tally of the paper ballots, the system is tested again by running the test ballots for a fourth time. The Commissioners or their representatives certify that they have reviewed and confirmed that the results compare accurately against the prior three test results. This post-tally test demonstrates the accuracy and dependability of the count by showing that the system produces the same results after the canvass as it produced before the canvass.

Between each of these tests the test deck is secured in storage at each of the Board's borough offices until the next test. After the Election and canvass is completely over, the test decks and reports are archived along with all other material from the election.

15.3.1 Ordering The Test Ballots

The Ballot Coordinator places the order for the test ballots. They are ordered along with the official ballots as soon as the contests and candidates are known. The Ballot Coordinator determines the number of ballots per Lot by using the tables that are part of the New York State Board of Elections' Instructions for Test Deck Preparation. These instructions are in section 15.7 Instructions and Forms.

- The test ballots are shipped to the borough offices to the attention of the borough Paper Ballot Lead People.
- The Lead People check the delivery to confirm that the correct ballots and quantity are received.

15.3.2 Preparing The Test Deck

There are different approaches to preparing a test deck. The Lead Persons determine the best approach for their staff. The following is a method suggested by the State Board.

- The Lead People prepare a set of guide ballots for each Lot (for each Party in a Primary.) The set of guide ballots contains ballots on which there is a vote for each successive candidate in the vote-for-one contests with an indication of how many ballots must be completed for each guide ballot; and also ballots for the multiple vote-for contests with an indication of the number of replications. See the NYSBOE Instructions in section 15.8 for the proscribed pattern.
- The Lead People identify the staff who will prepare the test ballots. The staff will indicate votes on the volume of ballots indicated by the guide ballots.
- Depending upon the complexity of the ballots and the number of Lots, the test deck may involve a large number of ballots. The Lead People schedule adequate time for the identified staff to prepare the ballots and run them through the scanners to be sure that the ballots have been completed correctly.
- As each Lot's deck is prepared, the Lead Person creates a Batch Header Sheet using the lowest ED/AD for that Lot. The Lead Person writes the code HH, the Lot number as a three-digit code, the ED as a three-digit code, the AD as a two-digit code, a blank space, and then the letter "V". They also fill in the appropriate ovals below each entry.

- The test ballots are batched behind the Batch Header Sheets and the Scanner Operators scan them, following the instructions, *Scanner Pre-election Test Procedures*, in section 15.7 Instructions and Forms. As errors on the ballots or Header Sheets are found, the Lead People correct them and continue to scan the decks until the expected desired results are achieved.
- The Lead People review the TeamWork reports and verify that the scanning systems have scanned the ballots correctly. They secure the ballots and reports until the Pre-election Test.
- The Pre-election Test is scheduled so that the borough's Commissioners or their representatives may attend and review and verify the results.

CONDUCTING THE PRE-ELECTION TEST

The test is conducted at each borough office within twenty days before the canvass. The Scanner Operators scan the test deck, using the instructions in section 15.7 Instructions and Forms. Each scanning system is tested, but depending upon the size of the test deck, it may be divided among the scanning systems; the entire test deck need not be scanned on each scanning station. The results are reviewed and compared against the prior reports. Every number in the Summary Report must be confirmed; one Lead Person or Scanning System Coordinator reads aloud the numbers from the report while another Coordinator confirms the exact match from the prior report. If a discrepancy is found, the Lead Person identifies the relevant ED by finding the ED Report that shows an unexpected pattern. That ED is scanned again. If the results are correct, the Summary Report is produced again. If the pattern is still faulty, the scanner is re-calibrated, and the ED is scanned again. If the pattern is still incorrect after re-calibration, the TeamWork Administrator is contacted and the source of the matter is determined. The final results are verified by the Commissioners, or their representatives. The ballots and reports are secured again, to be used for the Pre-election Test attended by the public.

CONDUCTING THE BLANK AND FOLDED BALLOT TEST

The test is conducted at each borough office within twenty days before the canvass. The Scanner Operators scan the blank and folded ballot test deck. Each scanning system is tested, the entire test deck needs to be scanned on each scanning station. The blank and folded ballot test deck is prepared with two blank ballots of each kind for each lot that are folded. The results are reviewed and compared against the prior reports. Every number in the Summary Report must be confirmed; one Lead Person or Scanning System Coordinator reads aloud the numbers from the report while another Coordinator confirms the exact match from the prior report. If a discrepancy is found, the Lead Person identifies the relevant ED by finding the ED Report that shows an unexpected votes. That ED is scanned again. If the results are correct, the Summary Report is produced again. If the votes are still reporting, the scanner is re-calibrated, and the ED is scanned again. If the report is still incorrect after re-calibration, the TeamWork Administrator is contacted and the source of the matter is determined. The final results are verified by the Commissioners, or their representatives. The ballots and reports are placed in secured storage.

CONDUCTING THE PUBLIC TEST

The Public Test is scheduled by the Board's EVS Department. The date will be before the election. Candidates or their representatives may attend the test. The Candidate Records Unit mails letters to the candidates notifying them of the test.

At the scheduled time of the Test in each borough office, the Scanner Operators scan the test deck, using the instructions in section 15.7 Instructions and Forms. The Summary Report is compared against the prior test's reports. Verification of the results is conducted, and discrepancies (if any) are resolved.

The results are reviewed and verified by the Commissioners or their representatives.

The borough Lead People once again secure the ballots and reports for later use for comparison during the Day of Tally Test.

CONDUCTING THE DAY OF TALLY TEST

This test is conducted on the day that the canvass starts, before the scanning of any official election ballots begins. The Lead People retrieve the test deck and the reports from their secured location.

The Scanner Operators scan the test deck, using the instructions in section 15.7 Instructions and Forms. The Summary Report is compared against the prior test's reports. Verification of the results is conducted, and discrepancies (if any) are resolved.

The results are reviewed and verified by the Commissioners or their representatives

The borough Lead People once again secure the ballots and reports for later use for comparison during the Post-tally Test.

CONDUCTING THE POST-TALLY TEST

This test is conducted after the canvass of the official election ballots.

The Lead People retrieve the test deck and the reports from their secured location.

The Scanner Operators scan the test deck, using the instructions in section 15.7 Instructions and Forms. The results from the Post-tally Test are compared against the results from the earlier Pre-election Test, Public Test and Day of Tally Test. Discrepancies if any are researched and resolved.

The results are reviewed and verified by the Commissioners or their representatives.

The borough's Lead People archive the test ballots and reports along with the rest of the material and documentation from the paper ballot canvass.

PREPARING AND TESTING AFFIDAVIT BALLOTS

Because of the late date at which affidavit ballots are available, they are tested only once before the canvass and then again after the canvass.

Before the canvass, the Lead People coordinate the preparation of a test deck of affidavit ballots in the manner described above.

The Lead Persons review the TeamWork reports and verify that the scanning systems have scanned the affidavit ballots correctly. They secure the ballots and reports until the Post-tally Test.

After the canvass, the Lead Persons conduct a test of the affidavit ballots in the manner described above.

15.4 Validation of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots

15.4.1 Post-Election Poll List And Ballot Retrieval

VOTED POLL LIST PROCEDURE

Poll List books should be retrieved from return envelope by Board personnel.

An inventory of ALL returned Poll List bags and Poll List books must be conducted.

The Retrieval Procedure

Place a ballot box up on end. It stands 15 inches high by 12 inches wide in this position. Place ONLY 15 EDs Poll List Books in a box.

Place each Poll List book(s) (A to L M to Z) into the box with the spiral plastic binding toward the front of the box

Before sealing, mark each box with the following information:

- AD number

  - ED number contained in each box
  - Date of the election.
- Place the top on each completed box and secure with masking tape.
- Place your completed sealed boxes in a central location for delivery to the borough office.
- Check off on the Poll List inventory schedule each election district packed.
- Deliver all AD items, to the team leader directly to take appropriate action,

If any poll lists are missing after checking the supply carts, notify the Chief Clerk and Deputy Chief Clerk immediately.

In the event that a poll list book is missing, Election Day Operations (EDO) should immediately contact the following:

- police precinct assigned
- inspectors assigned to that particular ED
- poll site custodian
- Voting Equipment Transportation Vendor

If there is no success in finding the missing poll book, notify the Chief and Deputy Chief Clerks.

PROCEDURE FOR VOTED PAPER BALLOTS FOUND IN SUPPLY CARTS OR VOTING MACHINES

A bi-partisan team of Board staff checks the each supply cart or voting machine as soon as all equipment for an Assembly District are returned to the VMF.

The Retrieval Process

- As the Poll List books are retrieved from the return envelopes, a check should be made for any voted paper ballot containers such as:
  - Special Ballot Envelopes
  - Unscanned Emergency Ballot Envelopes
  - “A” ballot envelopes.

- If such items are found, it should be noted in the appropriate box on the inventory schedule.

Unscanned Emergency Ballot Envelopes	Write the ED/AD and initial all emergency ballot envelopes found
	Place all emergency ballot envelopes into a special ballot box marked with the Assembly District number
	Mark box “emergency ballot envelopes”, cover and seal the box, and place in the Secured Storage Area
“A” ballot envelopes	Write ED/AD and initial all “A” ballot envelopes found
	Place all “A” ballot envelopes into a special ballot box marked with the Assembly District number
	Mark the box “A” BALLOT ENVELOPE, cover and seal the box and place in the Secured Storage Area

Notify the Chief Clerk or Deputy Chief Clerk whenever voted paper ballots have been located in supply carts or voting machines and arrange to have these voted ballots transferred by a bi-partisan team of Board staff to be joined with the other voted ballots. Upon receipt of these ballots, the Election Night Log should be updated and should contain a notation of ballots these ballots were found in the supply carts or voting machines instead of the return envelopes delivered by the Police Department.

SECURITY

All Paper Ballots, Poll Lists and election records must be specially secured in a double locked room until completion of the canvass.

VOTING MACHINE FACILITIES

- All paper ballots are to be secured as described in this document.
- ONLY Board of Elections staff and Law Enforcement Officers are permitted to be in the supply cart or voting machine area until ALL Poll list books and paper ballots have been retrieved. Poll watchers may only observe at a distance, but

may not enter the supply cart or voting machine area. All Board of Elections staff must work in bi-partisan teams.
- Watchers who question these security procedures are to be directed to the Chief Clerk or the Deputy Chief Clerk and shall not be permitted to enter the VMF supply cart or voting machine area.

PAPER BALLOTS

- The Chief Clerk and Deputy Chief Clerk are responsible for insuring that all voted paper ballots are properly logged and then orderly placed in the Secured double locked Storage Area. Any ballots removed from the Secured in a double locked Storage Area for processing must be properly logged so that any particular ballots can be located at any time.
- Clerks who are reviewing affidavit ballot envelopes and absentee ballot envelopes must return the ballots to the secured in a double locked Ballot Storage Area and note same on the log whenever the clerks must take a break. Clerks may not leave ballots at their desks when the clerk is not actually at the desk. Voted ballots are never to be left unattended in any place that is not secure.

15.4.2 Affidavit Ballots

Please note that one or two staff members or supervisors shall be responsible for the tabulation and verification of "A" ballot envelopes and for implementing the following procedure for each election. Charts should be kept up to date in order to be able to supply the necessary figures upon request of the general office. Usually, the final re-cap sheet (the summary of totals for all categories) is what is needed.

ROUTING PROCEDURE

Step 1. No later than the day of the election, place at least one large corrugated box or postal tray for each Assembly District (more for larger districts) labeled according to AD WITH LARGE, VISIBLE NUMBERS.

Step 2. When the RETURN ENVELOPES are delivered to the borough, separate the LARGE AFFIDAVIT ENVELOPES (BIG RED "A" ON THE FRONT) from the rest of the items and place them in the "A" Ballot box of tray for that AD (See Step 1).

Step 3. When the check off list indicates that all the AD's have been returned, form teams of two to begin the counting process.

You will need: "A" Ballot Charts (Preferably in a manila folder) labeled with the AD in large numbers, center front.

- Trays
- Felt pen -- preferably red or green
- Rubber bands
- Paper clips
- Pencils with erasers

Step 4. Place all the envelopes from the completed AD. in Election District order.

Step 5. Starting with the lowest ED, open the LARGE affidavit envelope and remove the smaller affidavit envelopes found therein, MAKING CERTAIN TO WRITE ON THE FRONT OF EACH small affidavit envelope with a felt pen the ED THAT IS WRITTEN ON THE OUTSIDE OF THE LARGE ENVELOPE THAT THEY WERE TAKEN FROM. This will tell you when verifying the ballot envelopes the district in which the ballot was actually cast.

Step 6. Place a rubber band around the envelopes or clip together with a paper clip, depending on the quantity, and place in a tray in ED order. Follow this procedure for each successive ED until the entire AD is completed.

Step 7. Return to ED 1. Count the "A" Ballots and enter the number on the "TOTAL RECEIVED" line of the "A" ballot chart, under ED #1, IN PENCIL. Use pencil because additional envelopes may be found later changing the total.

Step 8. Count each ED until the entire AD is completed.

Step 9. Complete each AD until the entire Borough is totaled.

Step 10. Keep the “A” ballots and the chart for each AD together in the tray until the ballots can be verified on the computer system following the procedure for verification. Remember that “A” ballot envelopes must be stored in a secure double locked location and logs must be maintained so that any particular ballots can be located at any time.

Step 11. Do not mix ADs. Make certain one person works on only one AD at a time.

Step 12. Keep a list of staff assignments so you know whom to consult when a question arises about a specific AD. Staff must sign whenever they receive or return affidavit envelopes for processing.

Step 13. AFTER COMPLETING THE VERIFICATION OF AN ED, band together “A” ballots that are INVALID and those that are VALID. Keep the valid and invalid separate in ED order.

Step 14. Proceed in this manner through the entire tray.

Step 15. Place the completed tray on a table that has a sign indicating “Checked on Computer”. Make certain that the tray is clearly marked as to AD. Keep all AD trays together and keep them in ascending order - the lowest AD at one end and the highest on the other. Trays must be kept in a secure location.

Step 16. Repeat this procedure until all AD's have been completed and checked on the computer. Continue to separate the valid and invalid ballots.

Step 17. Once all the AD's have been checked on the computer, record the findings on the "A" ballot charts. Upon completion of the verification of an ED, fill in the affidavit log as you go i.e. 1 ED - 62 AD has 10 ballot total, 4 preliminarily valid, 3 not registered, 1 missing information, 2 cancelled. If you enter information as you complete each Election District - the log will balance at completion.

Step 18. When the ballot numbers in each ED are totaled, the total invalid PLUS the number valid must equal the TOTAL RECEIVED that was entered at the top of the column at the beginning of this process.

Step 19. It is very important that ballot sheets be kept up to date. One or two persons who are good with figures can do this. The first 50 ED's are totaled on the first page. ED's 51-100 will be totaled on the second sheet and ED's 101-125 on the 3rd sheet. The summary that the General Office requires is compiled by adding the figures on pages 1, 2 and 3 and placing those totals on the final RE-CAP sheet. This will give you the complete AD totals. This can be carried one step further to include a summary RE-CAP sheet for ALL the AD's. In this way we will have the Borough TOTALS AT A GLANCE.

Step 20. These folders should be kept in an accessible file cabinet readily available if and when needed.

Step 21. Return the affidavit ballots to the Secured Ballot Storage Area.

AFFIDAVIT BALLOT ENVELOPE AS A SOURCE OF TRANSFER OF REGISTRATION

- An active (A) or inactive (X) voter moving within the five boroughs of New York City need not re-register in order to be eligible to vote in an election. If an affidavit ballot envelope shows that a voter has moved, the Board must update the voter's registration to show the new address and count the ballot.
- Instance where an Affidavit Ballot is Not Required:
- A voter moved WITHIN THE SAME ED and his name is in the Poll List Book. He should inform the Poll worker that he moved and provide his new address

    1. The inspector will verify that the new address (the use of ED Street Locators) is still within the same ED and draw a line through the old address on the Poll List, and enter the CORRECT ADDRESS in the Remarks column to the right of voter's name.
    2. The voter's correct name and address SHOULD ALSO BE NOTED AT THE END OF THE PRINTED POLL LIST IN THE SPACE ALLOTTED FOR SUCH CHANGES.
    3. Because the voter still resides in the SAME ED and his name and signature are in the Poll List he be allowed TO VOTE ON THE SCANNER.

- In a case where the voter moved to ANOTHER E.D., he should have been directed to his NEW polling place (ED) and filled out an Affidavit Ballot envelope with his current information and voted by means of an Affidavit Ballot.

- If computer check indicates that voter was ACTIVE (A) or INACTIVE (X) at his/her previous address, the registration will be transferred to the new address. The vote will count and TRANSFER NOTICE with the address change will be sent.
- If the voter (A or X) moved and cast their ballot at the correct polling site but INCORRECT E.D. and filled out an Affidavit Ballot, this will serve to transfer the voter's registration. The ballot, however, will count only for those offices, which apply to the ED where the voter now resides.
- If you find that the voter was PROPERLY CANCELLED AT HIS PREVIOUS ADDRESS, the vote doesn't count. A voter registration form must be sent to the new address so the person may reregister

AFFIDAVIT ("A") BALLOT VERIFICATION PROCEDURES

Materials needed:

- Tray of affidavits sorted by ED
- Green pen (to show up against the red print on the "A" ballot)
- Poll site list for the borough
- Access to a street finder
- Notepad

Procedure

Step 1. Check that voter has properly filled in the affidavit envelope

Every affidavit envelope MUST contain voter's name, address and signature.

If any of the above are missing, check off miscellaneous in the box section for BOE use only and indicate reason.

Step 2. Do an Inquiry on the voter using "Find Voter" procedure on AVID (see page)

Enter the old address if one was given on the affidavit envelope

Example: Borough - Manhattan

House No. - 519

Street Name - West 139 Street

NOTE: Be sure to enter the correct Borough before clicking on "Find Now".

AVID will display "No Records Found" or a list of one or more voters that live at that address. If the voter lives at a large apartment house, enter the first letter of the last name along with the address. After clicking on "Find Now", all persons with last names starting with that letter will be displayed.

Example - Borough - Manhattan

Last Name – S

House No – 519

Street Name – West 139 Street

This step can be helpful in finding a voter especially if the person's handwriting is difficult to read.

Step 3. If you find the voter registered at the previous address as STATED ON THE AFFIDAVIT ENVELOPE, check the status If the status is "A" active. Write the voter's serial number and date of registration on the "A" envelope. If the status is "X" check inactive and enter the voters' serial number on the "A" ballot envelope.

Step 4. In the event the voter was found to be registered at the old address as "A" or "X", check the ED/AD of the new address using the street finder or the AVID system (Put in the address using FIND voter.) See if the voter went to the correct ED for the new address.

a) If the ED for the new address matches the ED/AD written in the corner of the "A" ballot marks the ballot "valid"
b) If you find that the Election and Assembly District for the new address do not match the ED/AD written in the corner of the envelope; write ED/AD of the address in the center of the envelope with the letters SB (for should be). Check Polling Place list to see if both ED/AD voted in the same site. If they both voted at the same site the ballot will count. Mark "VALID" in the remarks space.
c) If the ED/AD of the new address was located at a different poll site that the ballot will not count, unless the Board is aware that the voter failed

to go to the correct poll site because of inspector or Board error. Mark "INVALID" in the remark space and check the box marked Wrong ED.

d) If the voter was found registered in the AVID system as an A or X at the old address, EL §5-208 provides for the registration to be transferred to the new address. The signed affidavit of the voter will serve as the transfer. Mark "CAF" on the envelope to indicate that the transfer process has to be done later.
e) When doing an inquiry on a voter who has voted on an affidavit ballot, you sometimes find that they have been cancelled at the old address: 1- moved, 2- failed to vote in federal elections and 4- felon, etc. Check the new address. If there is no registration for that person then check cancelled box and enter INVALID in remarks space. The vote will not count. The address is not transferred. Invalid “A” Ballot envelope is a new registration form and must be processed.
f) If you cannot find the voter at either stated address, do a 5-borough search using the name and birth date. If you find the name with the same birth date, the signatures match and the status is A or X, mark the envelope CAF and enter the voter ID number, the old address, indicate, whether it is "X" or "A". The registration will be transferred and the vote will count if the voter went to the correct poll site.
g) If the name of the voter is very common (e.g., John Smith or Juan Rivera) and unless you are able to make a match with signature verification, DO NOT count the vote. Send the prospective voter a voter registration form. Indicate on the affidavit that it is invalid and check the box marked "Not Registered".
h) In a Primary Election, if a voter is active (A) or inactive (X) at the previous address and is enrolled in the party having the Primary, the vote is counted and the registration is transferred to the new address.
i) If in a primary election a voter is "A" active or "X" inactive at the previous address but enrolled in a DIFFERENT party from the one indicated on the envelope, the vote does not count but the envelope becomes a change of address and change of enrollment application.

NOTE: If any TRANSFER or ACKNOWLEDGEMENT NOTICE (generated as a result of the processing of affidavit ballot envelopes) is returned by the post office as undeliverable, check to see that the information (name and address) is correct. If so, the voter shall be put on INACTIVE STATUS (X) using the voter change screen.

Wrong address If you find the voter is registered status “A” (active) or “X” (inactive):

- Check to see if computer address is the one listed on the affidavit envelope as the previous address from which the voter was registered.

- If such is the case and signature and vital statistics match, the affidavit envelope will be treated as a change of address and the vote will count.

NOTE: The vote will count only if the voter cast the affidavit ballot at the correct poll site for his/her new residence address. If the voter went to the wrong poll site but it can be determined that it was because of an error of a Poll Worker, (ministerial error) the vote will be counted.

- The voter will be notified of the address change with the generation of a Transfer Notice.
- If the voter is ACTIVE or INACTIVE on the computer but at a previous address that is NOT the same as the one specified on the Affidavit envelope and if signature and vital statistics match, the Affidavit envelope will be entered as a change of address and the vote will count (see Note above).
- If voter has been CANCELLED at the previous address given on the Affidavit envelope, the vote will NOT count.

NOTE: If the voter was cancelled (#1) because of a move, but entered as the current address on the affidavit envelope the same address shown on the computer, the clerk should do a search for the source document for the cancellation. If proper documentation is found, the voter remains cancelled and the vote does not count. If the cancellation was erroneous, it should be corrected.

Voter Cancelled

If you find the voter has been cancelled, check cancelled, write the status code #, the voter's serial number and the date of cancellation on the "A" ballot envelope. The vote will NOT count.

Status code

1 – Moved

2 – Four Year Inactive

3 – Death

4 – Felony

5 – not a U.S. Citizen

6 – Refused Challenge Oath

7 – Incompetent

8 – Unknown at Address

9 – Court Order

A – Active

P – Pending

Q – vote information found not to meet legal requirements

X – Inactive

V – removed at Voter's Request

Z – Delete – duplicate

Late Registration

If you find the voter is registered Status P, and the status effective date is after the election date, check “too late”, enter date of registration, and the voter’s serial number on the back of the “A” ballot envelope

Missing information

For an affidavit ballot to be valid, the voter's name, address and signature MUST appear on the front of the ballot envelope. If, however, some information is missing (such as ED/AD, inspector signature, etc.,) but the voter has provided the mandatory information and has been verified as being registered, the affidavit ballot is valid. See 9-209 (2) below. Note on the ballot envelope “Valid-Ministerial Error”, and count the ballot.

9-209 (2) of the New York State Election Law states: that "if the Board of Inspectors determines that a person was entitled to vote at such election it shall cast and canvass such ballot if such board finds that ministerial error by the board of elections or any of its employees caused such ballot envelope not to be valid on its face."

Missing name or address

If the voter's name or address is missing write “NO NAME” or "NO ADDRESS" on the ”A” ballot envelope.

If the voter is registered but the ED/AD on the “A” ballot envelope is DIFFERENT from the one on the voter's computer record, write 'WED" (wrong ED) and enter the ED/AD from the computer record on the “A” ballot envelope.

Wrong ED

If the voter went to the wrong ED but the correct Poll site, the ballot is VALID… the ballot will count but only for those offices which apply to the ED in which the voter now lives. The clerks should note the correct ED on the outside of envelope and should transfer the envelope to the affidavit ballot envelopes for that ED. The transfer must be noted on the logs for both EDs.

If the voter went to the wrong ED and the wrong Poll site, the ballot is NOT VALID (unless the Borough Office has been notified that the voter was not notified of the correct poll site by the inspector or the Board) ...The vote will not count but the voter will get credit for voting. The voter must still receive a letter indicating that the vote did not count.

Wrong or Missing Party (Primary Election only)

If the voter fills in the wrong party or no party in the space provided, the affidavit ballot is invalid.

UPDATING A VOTER'S STATUS RECORD

INACTIVE STATUS

The following steps are taken to update a voter's record when an INACTIVE voter votes by AFFIDAVIT BALLOT, properly signed and from the SAME ADDRESS submitted to the BOE.

- Voter must be REACTIVATED
- Select "Voter Change" from the AVID tool bar
- Find Voter using "Find Voter" procedure
- Selection "Active" from the status box drop down menu
- Enter date of original registration in box "as of"
- Press Save

CHANGE OF ADDRESS

If a voter in INACTIVE STATUS ("X") now resides at an address within New York City DIFFERENT from the one at which she/he previously registered and voted by AFFIDAVIT BALLOT (properly signed and filled out):

- Scan the AFFIDAVIT BALLOT envelope as a change of address.
- Enter on Registration screen the new address after finding the voter in the AVID system.
- A transfer notice to the voter will be generated.
- Press Save.

NOTE: In both cases, if all other criteria are met, the vote counts

LETTERS TO VOTERS

The Board of Elections is required by law to notify:

All Affidavit voters whose ballots were not counted. Those Affidavit envelopes are to be scanned. Select "send letter" from the Registration tool bar to generate the proper letter to the voter. [EL 5-403]

Recap "A" ballot ED/AD

The worksheet displayed in this section is the new version containing the total number of valid and invalid affidavit ballots for each ED in its respective AD

Completing the Invalid "A" Ballot Report

See sample that follows on next page.

- At top of the report enter the AD, date, election and county.
- Enter total ballots received in each ED.
- For each ED enter the number of ballots received next to the appropriate category beginning with "Not Registered" and ending with "Other-Specify".
- Add the column and place the total on the line that reads "Total Invalid".
- Next to "Total Valid" place the number of valid affidavit ballots that are going to be counted.
- Note: The total number of invalids plus the total number of valid should equal the total number received for each ED throughout the report.
- To determine the "Total" sideways across the report, take one category at a time, adding the figures as you go from left to right from ED to ED. Write the sum in the total column.
- To total each page add the "Total" columns by category (e.g. EDs 1-25 add to EDs 26-50 and so on) Put the sum in bottom grouping of GRAND TOTAL column on each page.
- To RECAP, take the Grand Total figures from page 1 and put them in column 1 on the recap sheet. Put figures from page 2 in column 2 of the Recap Sheet. Do the same for page 3.
- Add columns 1, 2, and 3 sideways. Put totals for each category in GRAND TOTAL column and you will have the absolute GRAND TOTALS for the entire Assembly District.
- After all totals have been compiled for each Assembly District, complete the BOROUGH WIDE RECAP SHEET by placing the total for each Assembly District in the appropriate column on the appropriate line.
- Total each line both horizontally and vertically. When completed the GRAND TOTAL Column will then contain totals for each category (number NOT REGISTERED, REGISTERED TOO LATE, etc.) as well as the TOTAL number of INVALID and VALID Affidavit Ballots submitted in the Borough. Note: Please proof and verify all totals for accuracy. These are the numbers most frequently requested in the post-election surveys conducted by the Board, the New York State Board of Elections and the U.S. Justice Department.

15.5 Absentee, Military, Federal, Presidential Ballot Procedures

15.5.1 Absentee, Military, Federal, Presidential Ballot Verification

- Check mailed ballots for proper postmark. Those ballots postmarked on Election Day or after are invalid and are not counted. Place in Invalid tray in ED/AD

order. Ballots may be delivered to the Board of Elections or a Board of Inspectors at a poll site before the close of the polls.

- Ballots received after the cut-off date, seven days after the election, or for Military Ballots received for a General Election, thirteen days after the election, are invalid and are not counted. Add to invalid tray in ED/AD order.
- Check ballot against poll list book to insure that the voter did not also appear in person to vote at the poll site. If the voter signed in the poll book, note that the ballot is invalid and place the ballot in the Invalid tray.
- Check absentee ballot envelope for required information. Failure to provide name, address and signature invalidates the ballot. Place in Invalid tray. NOTE: A ballot will also be invalid if the voter includes the absentee ballot application in the inside ballot envelope or if there are intentional marks on the ballot such as a signature. You will not know this is the case until the ballot is opened. If so, the ballot is marked VOID and set aside on the batching table.
- The procedures for scanning Absentee, Military, Federal and Presidential ballots are contained in section 15.6.4 Canvass Of Absentee/Special, Military, Federal, Presidential and Affidavit Ballots
- Verification of Federal/Military Write-in Ballot from an Overseas Voter not on the Standard Ballot Form *
- Sometimes a qualified overseas voter uses a ballot form that is different from a regular absentee ballot. The following procedures are followed.
- There must be an application for a federal or military ballot. The ballot will not be counted if there is no application, or if the application is received after the deadline (for military voters, seven days before the election; for special federal voters, twenty-five days before the election or the last day of local registration, whichever is later.)
- Federal/Military write-in ballots are processed as an absentee ballot (see procedures above for the validation of absentee ballots) with the following exception:

    1. If the voter has sent in a regular federal or military absentee ballot, the Federal/Military write-in ballot is invalid. Place the ballot in the Invalid tray.

- Once the ballot is determined to be valid, separate the Voters Declaration/Affirmation from the ballot and staple it to the application. Place the ballot in ED/AD order in the AD tray of other valid ballots for forwarding to the canvass area.

  * See 42 USC 1973ff-5 for reference.

15.6 Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots Canvass

15.6.1 Final Preparations for the Paper Ballot Count

The space in which the canvass takes place is divided into two distinct areas:

Batching Area

Scanning Area

The Batching Area is the place where final validation of envelopes and ballots is performed. Ballot envelopes that have been Preliminarily examined by Board staff, and separated into valid and invalid groupings, are brought into this area. It is in the Batching Area that the candidates or their representatives have the opportunity to observe the opening of the envelopes, and challenge, if they so choose, the rulings of the Board of Elections' staff regarding both envelopes and ballots. After determinations about validity are made, and the ballots are prepared for scanning, they are batched and sent to the Scanning Area. It is also in the Batching Area that the routing of all ballots is documented. Later, after the ballots are processed by the TeamWork scanning system, all documentation is returned to the Batching Area and reconciliation is performed.

The Scanning Area is the place where the ballots are scanned or manually entered into the TeamWork scanning system. It is also in the Scanning Area that, when all processing and reconciliation is complete, ballots and documentation are packaged for later archiving.

15.6.1.1 Batching Area

Before the day of the canvass, the borough Paper Ballot Lead People identify a large area in the borough office. They clear the area and make it suitable for use.

They bring in tables and chairs. Using the schematic on the next page as a guide, they prepare a sufficient number of Batching Tables to allow for a constant flow of ballots to the scanners -- ideally, two or three Batching Tables per scanning system. Each Batching Table is used for more than one AD, but working only one AD at a time.

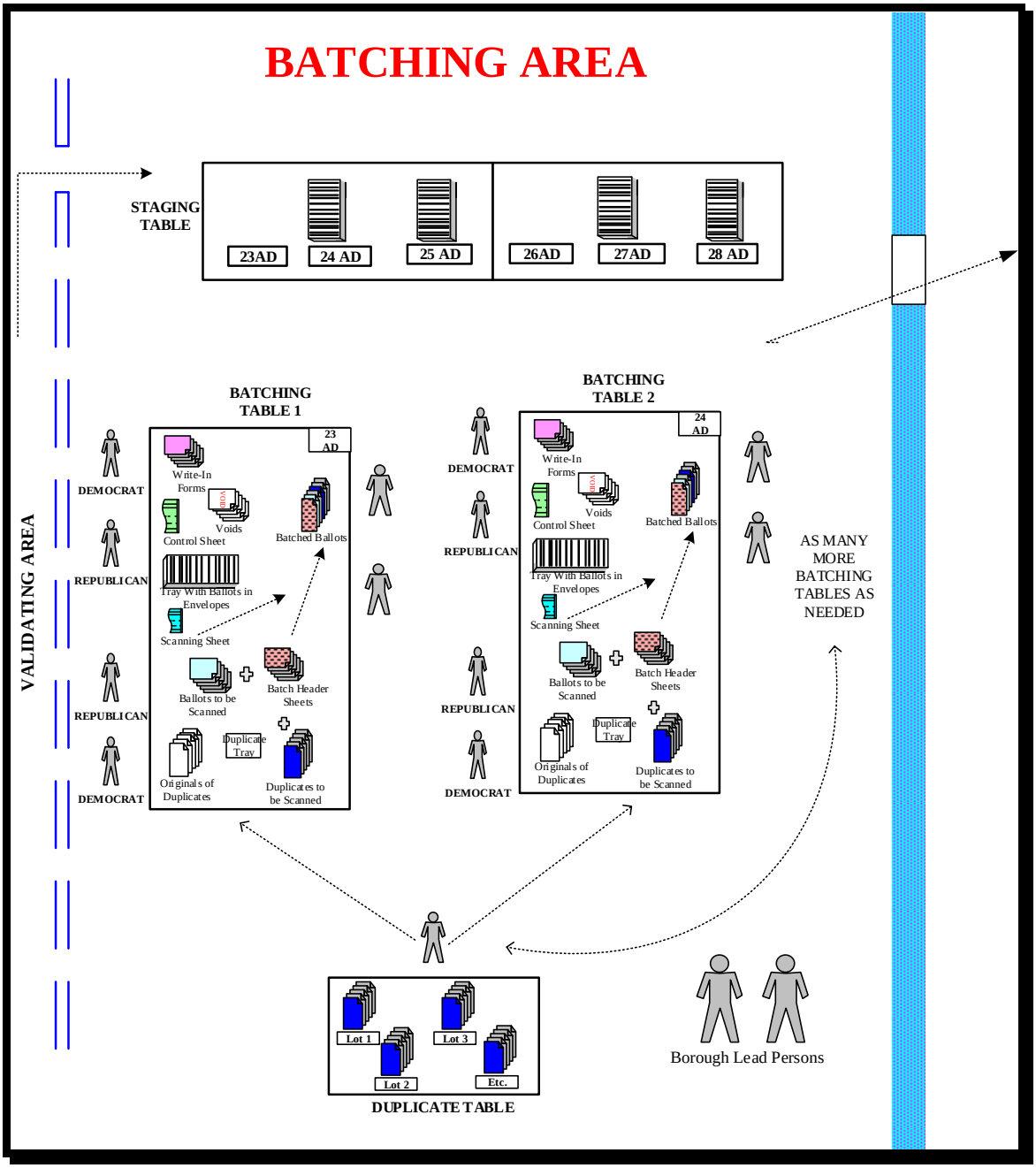


Figure 19. The Batching Area

- Each Batching Table must be supplied with the following:

  - Envelope openers
  - Red-pencils or red pens with erasers
  - Rubber fingers
  - Staplers and staples
  - Original Ballot forms (yellow)
  - Scanning Sheets (blue)
  - Write-in forms (pink)
  - Paper Ballot Control Sheet (white)
  - Batch Header Sheets

The Lead People determine the correct paper ballot Control Sheets and Batch Headers for each Batching Table and for each phase of the batching process.

- The Lead People set up a Staging Table(s) in the Batching Area. The Staging Tables are used to hold the trays of envelopes until the Batching Table is ready for them. The Staging Tables are labeled with AD signs to indicate where the trays for each AD are to be placed.
- The Lead People set up the Duplicate Table. This table holds blank ballots that will be used to duplicate ballots that are not scannable. Both absentee and affidavit blank replacement ballots will be needed for duplicates. The blank ballots are organized by Lot and are labeled with the word “Duplicate”. Board personnel maintain control over blank replacement ballots at all times. Prior to the commencement of the canvass, the replacement ballots are kept in the Secured Ballot Storage Area. During the canvass, the Duplicate Table holding the blank replacement ballots is supervised at all times.

15.6.1.2 Scanning Area

- Using the schematic that follows as a guide, the Lead People set up three tables, each of which holds one scanning system (scanner, TeamWork PC and printer). See the TeamWork User Guide and NCS Manual for details on setting up the system. If the ballots to be scanned are the long size (14”), place two magnetic ballot guides one behind the other on

each scanner's input hopper. The longer length guide helps to minimize skewing when scanning longer ballots.

A label is affixed to each table to serve as the record of which ADs were scanned on that system. Lead People take care to assign the ADs to the three scanning systems so that there is a fairly even distribution of ballots to each system. In this way, all three systems will be utilized and no system will remain idle while another system is overloaded. Also, all updates to an AD must be performed on the system where the AD started.

- Place Scanner-Refused Ballot forms (gray) on each table.
- Place the Scanner Maintenance Log in the Scanning Area.
- The Lead People set up a Staging Table(s) in the Scanning Area. The Staging Tables are used to hold batches of ballots until they can be scanned. It is at the Staging Table that the Staging Table Runner verifies the number of ballots received from the Batching Area.
- The Lead People set up a Holding Table(s) in the Scanning Area. The Holding Table is used to hold the ED reports and the scanner-refused ballots until the AD is complete.
- The Lead People set up a Completion Table(s) in the Scanning Area. The Completion Table holds boxes that are labeled with the AD numbers. Scanned ballots are placed in the boxes as scanning proceeds. After the AD is reconciled, all forms, reports and documentation are placed in the box for the relevant AD.

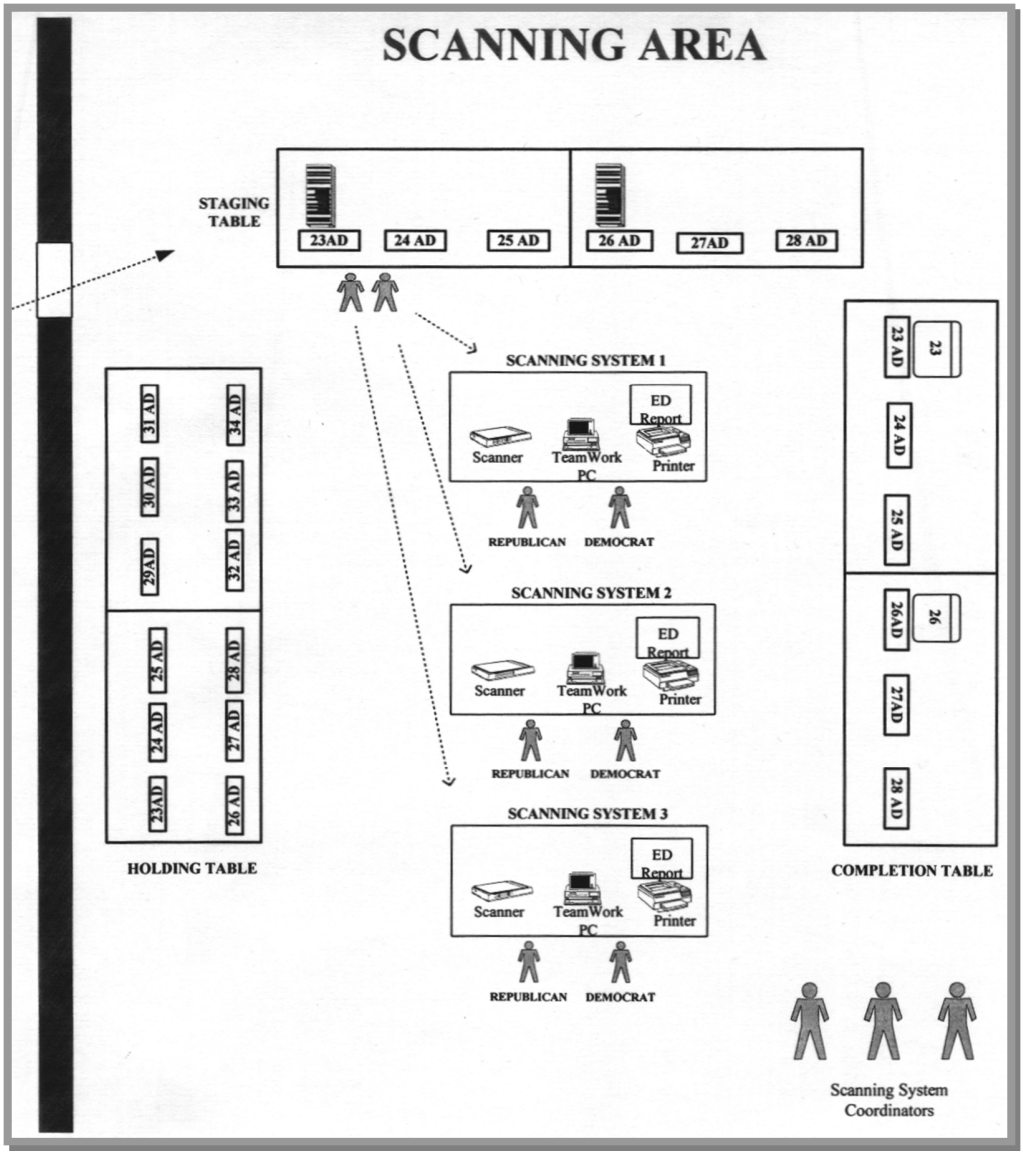


Figure 20. The Scanning Area

15.6.3 Prepare Affidavit, Absentee/Special, Military, Federal, Presidential Ballots

- The different types of ballot envelopes will have been validated, and will be in separate trays organized by ED/AD. Borough staff interfile the different types of ballots so that all ballot kinds for each ED are rubber-banded together. Ballot envelopes that have been marked as having been transferred into the ED of the voter's registration *are included at the end of the envelopes for that ED within the ED's rubber-band.* The trays are kept in the Secured Ballot Storage Area.
- When election districts are combined, tallies are reported only once for the combined election district, under the ED number used for the combination. Therefore the ballots from the combined districts are scanned together in one batch. To prepare the affidavit and absentee ballots for this combined scanning, the ballots are kept together in the same rubber-band in the tray so that they will be batched together at the Batching Tables. Before placement in the tray, if any ballots were labeled for an ED that was not used because the ED was combined with another ED, the ballots are re-labeled for the ED into which the unused ED was combined.
- The borough Lead People bring the trays of sorted and rubber-banded ballots to the Staging Tables in the Batching Area where the canvass of the Affidavit, Absentee/Special, Military, Federal, and Presidential Ballots is scheduled to take place.

15.6.4 Canvass Of Absentee/Special, Military, Federal, Presidential and Affidavit Ballots

15.6.4.1 Final Determination of Validity, Opening, and Batching

The borough Commissioners will designate themselves or other persons to serve as the bi-partisan team of canvass clerks to canvass the absentee/special, military, federal, presidential and affidavit ballots in accordance with Election Law § 9-209.

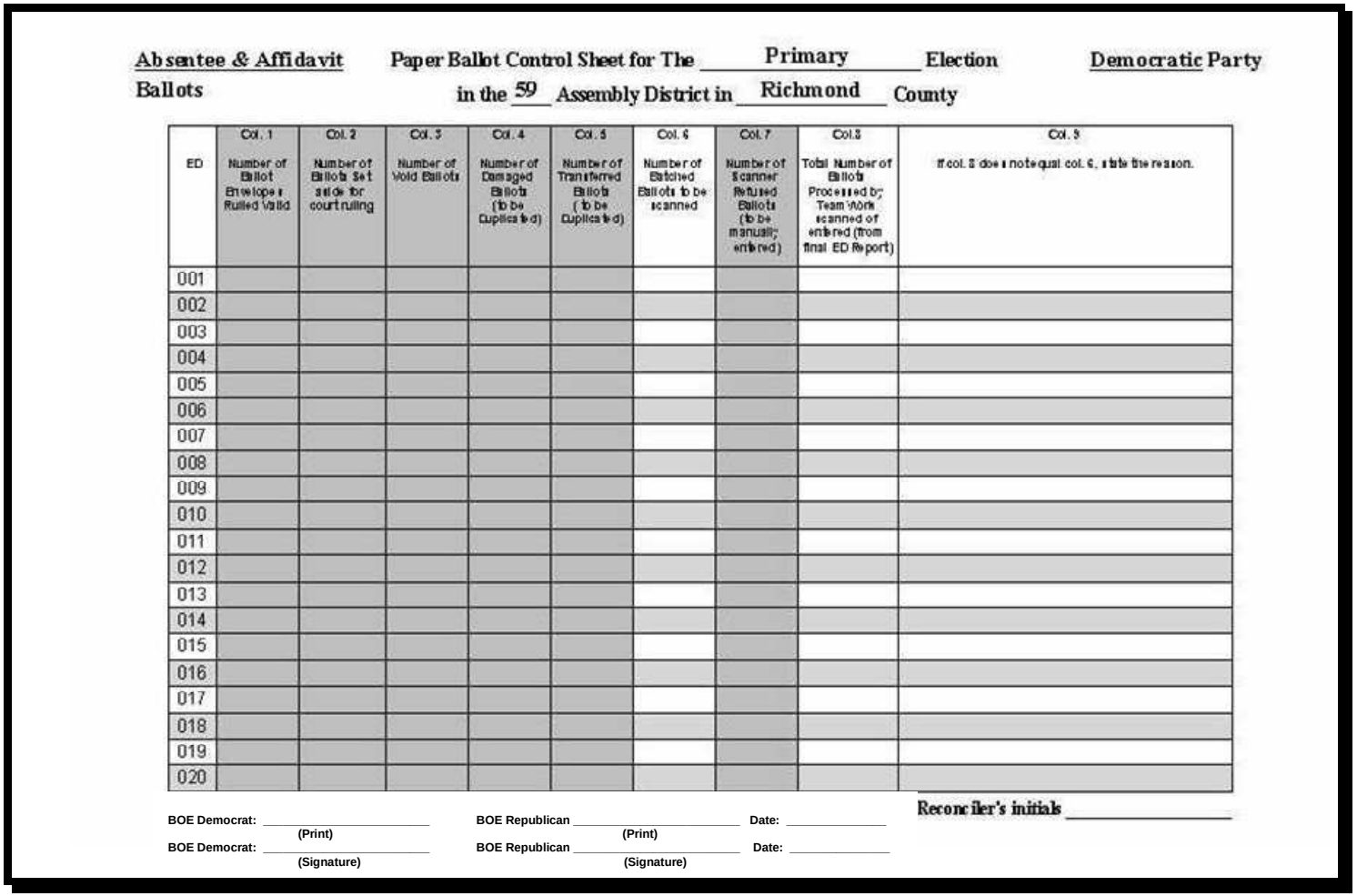
Candidates are entitled to appoint watchers who may challenge the preliminary determination whether a ballot envelope should be opened and counted or whether it should be ruled invalid. Watchers should be prepared in advance to make any challenges. To this end, as soon as the paper ballot envelopes have been logged and assembled for preliminary verification, the borough office should make available copies of the envelopes to watchers of those candidates who request them. Watchers or other representatives of the candidates must research registration and enrollment records prior to the time designated for the formal canvass of the ballots.

The final determination of validity, opening of envelopes, and batching of ballots takes place in the Batching Area set up with Batching Tables, as described earlier in the section *15.6.1* Final Preparations for the Paper Ballot Count.

Preliminarily valid ballot envelopes are placed in AD trays in ED order. Each ED is secured with a rubber-band. Transferred envelopes are included within the rubber-band for each ED. The transferred envelopes are placed at the end of each batch within the rubber-band. Envelopes from EDs that have been combined into another ED are rubber-banded together with the envelopes of that other ED. Invalid ballot envelopes are placed in separate AD trays in ED order.

The steps of the process are as follows:

- The canvass clerks who are assigned as Opener-Batchers pull out and work with all valid envelopes for each ED – one ED at a time. If watchers are present, the Opener-Batchers also rule on any challenges to the ballot envelopes that were preliminarily marked invalid. They enter into col. 1 on the Paper Ballot Control Sheet the number of ballot envelopes ruled valid. (See the Control Sheet illustration on the next page.)



Absentee & Affidavit Ballots Paper Ballot Control Sheet for The Primary Election **Democratic Party**
in the 59 Assembly District in Richmond County

ED	Col. 1 Number of Ballot Envelopes Ruled Valid	Col. 2 Number of Ballots Set aside for court ruling	Col. 3 Number of Void Ballots	Col. 4 Number of Damaged Ballots (to be Duplicated)	Col. 5 Number of Transferred Ballots (to be Duplicated)	Col. 6 Number of Batched Ballots to be scanned	Col. 7 Number of Scanner Refused Ballots (to be manually entered)	Col.8 Total Number of Ballots Processed by Team Work scanned or entered (from final ED Report)	Col. 9 If col. 8 does not equal col. 6, state the reason.
001									
002									
003									
004									
005									
006									
007									
008									
009									
010									
011									
012									
013									
014									
015									
016									
017									
018									
019									
020									

Reconciler's initials _____

BOE Democrat: _____ (Print) BOE Republican _____ (Print) Date: _____

BOE Democrat: _____ (Signature) BOE Republican _____ (Signature) Date: _____

Figure 21. The Paper Ballot Control Sheet

The Opener-Batchers open the envelopes and place the unfolded ballots face down in order to avoid disclosing the vote of any voter. They write the ED/AD on the back of each ballot (in red only).

If the ballot is a federal/military write-in ballot from an overseas voter and it is not on the Board's standard ballot form, the ballot cannot be scanned. After writing the ED/AD on the back of the ballot in red, the Batchers record the ED/AD, party, office and write-in name on the pink Write-in form. They indicate "Federal/Military" as the ballot kind on the pink form. They are careful to record the name exactly as it appears on the ballot. Decisions regarding the normalization of names will be made later in the process by Board staff who enter the write-in names into the S-Elect system. In addition, if the voter has not written a person's name but has written a party name, the Batchers record the party name in the space for the write-in name. They paperclip the ballot to the pink form and set the clipped set aside on the batching table along with any other pink Write-in forms.

- The ballots are shuffled.
- The Opener-Batchers review the ballots.
- If there is a challenge to any ballot, the clerks note the challenge. The leading borough Democrat and Republican or their designees make a ruling. If both agree, their ruling is final. If they are divided, the ballot is set aside for three days and then it will be opened, unless a court order is received. They enter into col. 2 of the Control Sheet the number of ballots set aside for court ruling.
- If the ballot is a BMD ballot, it is transferred to the location set aside for the canvass of BMD Affidavit ballots. See section 16.0 BMD AFFIDAVIT BALLOT CANVASSING for details procedures.
- The Opener-Batchers identify any ballots that are void. They write on the ballot that they ruled it void and indicate the reason. The following are reasons why a ballot would be determined to be void:
    - An absentee ballot contains the absentee application inside the *inner* ballot envelope;

- There is more than one ballot in the *inner* ballot envelope;
- There is an *intentional mark* on the ballot, such as a signature or symbol that could have the effect of identifying the voter.
- There is extraneous material found in the *inner* ballot envelope

For Absentee or Federal Ballots see Election Law 8-410
For Affidavit see Election Law 8-302(3) (e) (ii)

Unintentional or irregular marks on the ballot are not a basis for voiding the ballot.

The Opener-Batchers set aside the voided ballots on the Batching Table. They record the total number of void ballots in col. 3 of the Control Sheet.

- If ballots have write-in votes, the Batchers record the ED/AD, ballot kind, party, office and write-in name on the pink Write-in form. They are careful to record the name exactly as it appears on the ballot. Decisions regarding the normalization of names will be made later in the process by Board staff who enter the write-in names into the S-Elect system. They set the form aside on the batching table, and they include the ballot in the batch to be scanned.
- If a write-in appears for a contest in which a candidate was selected, the bi-partisan team of the Chief Clerk and Deputy Chief Clerk or their designees are consulted for a determination. If they decide that the contest is to be considered over-voted, and the oval in the write-in box was not filled-in by the voter, a duplicate ballot is made with both ovals filled-in so that the scanning system will not count the vote for that contest. (The scanning system does not count votes in an over-voted contest.) The write-in vote does not get recorded on the pink write-in form and is therefore not entered into S-Elect. If, on the other hand, the bi-partisan team of the Chief Clerk and Deputy Chief Clerk or their designees determine that the contest is not to be considered an over-vote but both ovals were filled-in by the voter, a duplicate ballot is made with only the oval for the voted candidate filled-in. Again, the write-in vote is not recorded on the pink write-in form and is therefore not entered into S-Elect.

- The Opener-Batchers examine the ballots to see if they are suitable for scanning.

  If the ballot is damaged so that it will not properly scan, the Opener-Batchers hand the ballot to the canvass clerks who are assigned as Duplicators. The Batchers record the number of damaged ballots to be duplicated in col. 4 of the Control Sheet.

  If there are transferred envelopes at the end of the ED which are not the same Lot as the ED being worked, the Opener-Batchers also hand the ballot to the canvass clerks who are assigned as Duplicators. The transferred ballots are those ballots that have the wrong election district ballot form. (This will most commonly occur when the affidavit ballot voter went to the wrong election district.) The Opener-Batchers record the number of transferred ballots to be duplicated in col. 5 of the Control Sheet.

- The Duplicators request that the Duplicate Table Runner bring them a duplicate ballot - by stating the kind of ballot and the ED/AD being worked. Using the Lot directory, the Runner determines the correct Lot for that ED/AD and retrieves the correct ballot. The duplicate ballot will have been labeled as a Duplicate. The Duplicators write a control number on the back of the Original ballot. This control number is usually the ED/AD and a sequential number starting over with the number “1” for each ED. They write the ED/AD and control number from the Original ballot onto the Duplicate ballot. They transfer the votes from the Original ballot to the Duplicate ballot for all the contests that apply to the ED being work. They staple a yellow Original Ballot form to the Original ballot and mark the form with the ED/AD.

- The Duplicators return the Duplicate Ballot to the Openers-Batchers who will place the Duplicate in the batch of ballots to be scanned. CARE MUST BE TAKEN THAT THE DUPLICATE IS PLACED IN THE CORRECT BATCH. The Duplicators set the Original ballot, with the yellow form stapled to it, in a secured location on the Batching Table and make sure that it is not scanned or manually entered into the Teamwork or S-Elect systems.

- The Opener-Batchers batch all of the ballots suitable for scanning, face-up, with the Batch Header Sheet for that ED/AD on top. The batch is not rubber-banded or paper-clipped to avoid damaging any ballot. The Opener-Batchers count the number of batched ballots to be sent for scanning, and record the number into col. 6 of the Control Sheet. They also write the ED and enter the number of batched ballots to be sent for scanning into col. 1 of the Scanning Sheet (blue sheet).
- After five EDs are finished, the Batchers set the batches of ballots along with the blue Scanning Sheet aside on the Batching Table and continue along with the next EDs. Throughout the opening and batching process, the Scanning Area Coordinator circulates among the Batching Tables and collects the groups of ready batches along with the Scanning Sheets, and brings them to the correct scanning system.
- When the AD is finished, the canvass clerks gather all materials for that AD (Control Sheet, Originals of the Duplicated Ballots, Voids, and Write-in Forms) and bring them to the Holding Table in the Scanning Area.
- If watchers are present, the canvass clerks do not delay the opening and batching process by canvassing the ballots for any particular races. Watchers will be able to obtain vote counts after the ballots have been scanned.
- If requested by any watchers present, invalid envelopes are reviewed so that the watcher(s) may object to the invalid determination. The bi-partisan team of Board's staff may, after due consideration, reconsider the original determination.

15.6.4.2 Scanning

Scanning takes place in the Scanning Area on three separate scanning systems (two in Staten Island). Batched ballots and the blue Scanning Sheets are brought to the Scanning Area Staging Table by the Scanning Area Coordinator. The Staging Table Runner in the Scanning Area counts the ballots, writes the number in col. 2 on the blue Scanning Sheet,

and confirms that col. 1 matches col. 2. If there is a discrepancy, the Runner brings the complete set of five batches back to the Batching Table and obtains resolution of the discrepancy.

It is not necessary to bring the batched ballots to the scanning systems in any particular order since the system will recognize the ED/AD from the Header Sheets. However, once an AD has been started on a particular system, ballots for that AD must not be processed on another system. See section15.6.1 Final Preparations for the Paper Ballot Count, for more details.

On the first day of the tally, before any ballots are scanned, the Pre-election Test is conducted. The Commissioners or their representatives certify that they have reviewed and verified the results. See Section *15.3* Testing the Canvass Scanning Systems. After the test is completed, the test data is removed from the systems and reports are generated that show zero results for all contests and candidates. The Commissioners or their designees review the reports and give their approval to begin the canvass of paper ballots.

On subsequent days of the tally, a Summary Report is produced at the beginning of the day and matched against the Summary Report produced at the conclusion of the prior day. Care is taken not to zero out the system at the beginning of subsequent days so that the tally continues to accumulate.

Tasks performed during scanning are the following:

- Scanning Operators initialize the systems following the procedures in section 15.7 Instructions and Forms. If it is not the first day of the tally the Operators do not zero out the system. They produce a Summary Report of each system and confirm that it matches the Summary Report produced at the end of the previous day.

  At the start of an AD, the Scanner Operators write the AD number on the Scanning Station label that is affixed to the table, and they also note the AD number and start time in the Scanner Maintenance Log.

- Scanning Operators place batches of ballots on the input hopper of the scanner in groups that fill the hopper about halfway to the maximum sheet level line. If needed, they roll or flatten the batches to straighten the ballots. They check to insure that all the ballots are face-up and the timing marks are aligned. They press “enter” on the TeamWork PC to scan the batches.

- As the batches are scanned, the Operators record the number of ballots from the TeamWork ED reports to the blue Scanning Sheet and verify that the number scanned matches the number sent from the Batching Table. If the numbers match, they put the batches with the blue Scanning Sheets into the box for that AD on the Completion Table.

If any numbers do not match, they remove the ballots and Header Sheet for that ED and either re-scan them using an HR code (i.e., replace), or send them, with the Scanning Sheet, back to the Batching Table for review.

- If, during scanning, the scanner refuses a ballot, the Scanner Operators remove the ballot from the scanner and staple a Scanner Refused Ballot Form to the ballot. They record the ED/AD on the Scanner Refused Ballot Form and then record the number of scanner refused ballots for the ED on the blue Scanning Sheet, erasing and updating the number as needed. They retain the ballots at their system until the AD is complete. They then send the refused ballots to the Holding Table. These ballots will be key-entered later directly into the TeamWork system.
- The Operators forward the ED reports to the Holding Table.

15.6.4.3 Reporting Results

Periodically throughout the tally, Summary Reports are produced and faxed to the executive office at the Board's General Office. Additionally, vote totals are made available to the candidates and representatives who are present at the tally as scanning progresses. Remember that tallies are not to be taken while the envelopes are being opened and the ballots are being batched.

- At approximately 12 noon, 4pm, and again at the end of the day, a Summary Report is produced from each scanning system, using the PRINT command.
- On each report, the borough and time is circled. The notation "1 of 3", "2 of 3" and "3 of 3" is written on the relevant reports of the three systems. Each report is then faxed to the General Office.
- At specified time intervals, candidates or their representatives are informed of the on-going tallies. The candidates or their representatives are informed that the tallies are unofficial.

15.6.4.4 Reconciliation

When scanning is over, working one AD at a time, the canvass clerks will verify that all ballots determined to be valid for counting have been processed by the system – either scanned or key entered. This process of verification is known as reconciliation and will be documented on the Paper Ballot Control Sheet. The canvass clerks, now assigned as Reconcilers, bring all materials (Paper Ballot Control Sheet, TeamWork ED reports, Scanner Refused Ballots, Original ballots of the

Duplicated ballots, voided ballots and Write-in Forms) from the Holding Table to the Batching Table which will now serve as the Reconciliation Table.

The steps of reconciliation are as follows:

- The Reconcilers record the number of scanner refused ballots for each ED in col. 7 on the Paper Ballot Control Sheet.
- Reconcilers that represent the two major parties hand-tally the scanner refused ballots on the Paper Ballot Tally Worksheet for that ED. They bring the scanner-refused ballots and Worksheets to the correct scanning system and they observe the Scanner Operators enter the vote totals into the Teamwork PC. Instructions for data entry are found in section 15.7 Instructions and Forms. After the data entry is completed, the Reconcilers take the ballots, Worksheets and the Updated Teamwork ED reports back to the Reconciliation Table.
- The Reconcilers put the ED reports in ED order, and staple the Updated ED reports on top of the initial reports for the relevant EDs.
- The Reconcilers record the total number of ballots scanned from the topmost report for each ED into col. 8 on the Control Sheet. They verify that the number of ballots sent to the scanner, col. 6, equals the number of total ballots processed by the system, col. 8. If they are not equal, they determine the reason and record in col. 9.
- The Reconcilers forward the pink Write-in forms to the S-Elect department for the data entry of write-in names. Details for data entry of write-in names are found in section 4-5..
- When the AD is complete, the Reconcilers initial the Control Sheet and bring all material for that AD (Paper Ballot Control Sheet, Scanner Refused Ballots, Original ballots of the Duplicated ballots, voided ballots, Teamwork ED reports) to the Completion Table and put them into the box marked for that AD.

15.6.4.5 End-of-Day Procedures

If the ballots are not completed within one day, back-ups of the systems are created and Summary Reports are produced. When the tally resumes the next day, Summary Reports will first be produced and they will be compared against the prior night's reports to confirm that no changes have occurred. The end-of-day steps are listed here. (On the day when the emergency ballots are completely finished, the upload to S-Elect is performed as described in the next section 15.6.4.6 Tally Upload to S-Elect.)

- The Scanner Operators print a Summary Report from each scanning system using the command PRINT.

- The Summary Report is signed by the bi-partisan team. The Report is sent to the General Office and the report is secured at the borough office for use the next morning to compare against the Summary Report produced in the morning.
- Each TeamWork system is backed-up to three disks using Option U from the menu following the step-by-step Instructions *TeamWork System Backup Procedures* found in section 15.7 Instructions and Forms. One disk is retained by the borough's senior Democrat and the other is retained by the senior Republican or their designees. The third disk is sent to the General Office.

15.6.4.6 Tally Upload to S-Elect

When the tally is complete, the paper ballot vote totals must be transferred to S-Elect to be combined with the vote totals from the voting machines. The Scanner Operators accomplish this by creating disks from the TeamWork PCs and moving the data onto the network. Staff at the General Office upload the data into S-Elect. The Scanner Operators label the disks with the Election Name and Date, the date they were created and the scanning system number. The Borough's Paper Ballot Lead Persons retain the disks.

The tasks include the following:

- The Scanner Operators print a Summary Report from each system and it is signed by a Democrat and Republican.
- Each TeamWork system is backed-up to disk using Option U from the menu. The back-up disk is secured at the borough office.
- Using Option M from the menu, the Scanner Operators load the tally results from system 2 and from system 3 onto transfer disks. See the step-by-step Instructions *TeamWork System Transfer Procedures* found in section 4-6 below.
- Using Option N from the menu, the Scanner Operators read each of the transfer disks into system 1.
- Using Option U on system 1, and performing the transaction three times, the Scanner Operators back-up system 1 to three disks. One disk is retained by the borough senior Democrat and the other is retained by the senior Republican or their designees. The third disk is sent to the General Office.
- The Scanner Operators produce an export disk from system 1 with the combined tally data from all three systems.
- They e-mail the combined export disk to the TeamWork Administrator. The Teamwork Administrator at the General Office will have the combined transfer disk uploaded into S-Elect.
- The Scanning Operators give all the disks to the Borough's Paper Ballot Lead Persons.

- If a large number of ballots are found after the upload has been performed, they are scanned and the transfer process is done again, and the results are uploaded into S-Elect.
- If a small number of ballots are found after the upload has been performed, they are entered directly into S-Elect. The bi-partisan team of S-Elect clerks make sure that any additional ballots that are received after the canvass are added manually into S-Elect. They preserve a log that shows the number and count of ballots added manually.

  The general principle is to wait until it is reasonably certain that all ballots are found before an upload into S-Elect is performed. An upload from TeamWork into S-Elect always overlays prior data for the ballot kind being processed. Therefore, if manual updates were made to S-Elect before the upload, they would have to be entered again.

15.6.5 Canvass Of Perforated Ballots

Occasionally, a perforated ballot is used to meet space requirements when the ballot contents do not fit on the 11" or 14" sheet. This is most likely to occur in EDs where multiple languages are required. The canvass of perforated ballots is largely the same as for non-perforated ballots. However, Election Law provides specific rules related to the canvass of the halves (or parts) of the ballot. Additionally, a different Control Sheet is used by the Canvass Clerks to track the processing and disposition of perforated ballots.

Standard procedures for validation and canvass are the same except for the differences from standard procedures that are presented below in two sections, one for emergency ballots and one for all other ballots.

15.6.5.1 Supplement for Perforated Absentee, Military, Special, and Affidavit Ballots

Sorting

- When placing valid ballot envelopes into the trays in ED/AD order, put the envelopes from the EDs with perforated ballots into a separate tray.
- Place the separate set of Control Sheets marked "PERFORATED BALLOTS" on the trays.
- Forward the ballot trays and Control Sheets for perforated ballots to a separate batching table.

Batching

- Working one ED at a time, count the number of envelopes and record in column 1 of the Control Sheet.
- Working one envelope at a time, follow existing procedures for allowing watchers who are present to make objections, and for making your determination.

- Open the envelope and examine the contents.
    - If there is a whole ballot, one half of a ballot, or both halves of a ballot, proceed to the next step.
    - If there is more than one whole ballot or more than both halves of a ballot in the envelope, follow existing procedures as to whether the ballots or ballot parts are valid to canvass.
- Examine each ballot.
    - Using only red ink or red pencil, mark each half of the back of the ballot with matching codes. These codes will be used later, if necessary, to identify the two halves of a given ballot. Also write the ED/AD on the back of each half of the ballot.
    - If a ballot is void, follow existing procedures for handling, and record the number in column 3 of the Control Sheet. Remember: a whole ballot is void, never just a half of the ballot.

  If the ballot is damaged, follow existing procedures for handling, and record the number in column 4 of the Control Sheet. Remember: a *whole ballot* is duplicated, never just a half.

  If a ballot is the wrong lot for the voter's ED, follow existing procedures for handling, and record the number in column 5 of the Control Sheet. Remember: a *whole ballot* is duplicated, never just a half.

    - If there is *only a top* half or *only a bottom* half of a ballot, create a substitute half for the missing half by using a blank ballot of the same lot.
    - Record the number of halves in either column 6 or 7 of the Control Sheet as appropriate.
    - Record the number of substitute halves in either column 8 or 9 of the Control Sheet as appropriate.
    - Place the blank substitute half in the batch.
    - Count the number of ballots to be sent to the scanner and record the number in column 10 of the Control Sheet.

- Using the blue sheets that are marked "PERFORATED BALLOTS," record the number of ballots to be sent to the scanner in column 1 of the blue sheet.
- Separate the ballots at the perforation and batch them with the Batch Header Sheet for the ED. There is no need to keep any particular order within the batch.
- Send batches and blue sheets to the scanners.

Scanning

- The ballot sheets arrive at the scanner with a blue sheet marked "Perforated Ballots." Column 1 of the blue sheet will contain the number of ballots to be scanned. Count the pages received, record the number in column 2 of the blue sheet, and confirm that the number of pages received is twice the number of ballots indicated in column 1.
- After scanning the batches of one blue sheet,
    - Record the number of ballots scanned in column 3 of the blue sheet. This number is found at the top of the ED Report.
    - Record the number of pages scanned in column 4 of the blue sheet. This number is found at the bottom of the ED Report. Note that the number of pages must be twice the number of ballots.
    - If the number of ballots scanned does not equal the number of ballots sent to the scanner as recorded in column 1 of the blue sheet, OR if the number of pages scanned is not twice the number of ballots scanned, find the cause of the discrepancy. Either scan the batch again to see if you get the same numbers, or count the pages in the batch to see if the correct number had been recorded on the blue sheet. Resolve the discrepancy.
- If a page is rejected by the scanner because it is the wrong lot for the batch, or if a page is physically damaged and will not scan,
    - Find the other half of the rejected page, and if it has not already been scanned, follow the usual procedures for a ballot rejected at the scanner. Remember to set aside the whole ballot (both halves) for key entering. Record the number in column 5 of the blue sheet.
    - If, when you find the other half of the rejected page, it has already been scanned, delete the batch from the scanner, and rescan the batch without the rejected ballot (neither top nor bottom). Then proceed as in (a).
    - When time permits, or when scanning is complete for that AD, key enter scanner-rejected ballots.
    - Forward scanned ballots to the reconciliation area.

Reconciliation

- Review the ED Reports to ensure that the number of pages at the bottom of the report is twice the number of ballots at the top of the report. If not, resolve the discrepancy.
- For each ED, record into column 11 of the Control Sheet the number of ballots scanned or keyed into TeamWork. Take this number from the top of the TeamWork ED reports.
- Wherever the number in column 11 does not equal the number in column 10 of the Control Sheet, determine the cause of the discrepancy and note the reason in column 12.

15.7 Instructions and Forms

15.7.1 INSTRUCTIONS

- Instructions for Test Deck Preparation
- Scanner Batch Header Sheet Procedures
- Scanner Pre-election Test Procedures
- Scanner Canvass Procedures
- TeamWork System Back-up Procedures
- TeamWork System Transfer Procedures
- TeamWork System Export Procedures

15.7.2 FORMS

- Paper Ballot Tally Scanning Sheet
- Original Ballot Form
- Scanner Refused Ballot Form
- Paper Ballot Control Sheet
- Batch Header Sheet

15.8 State Board of Election Test Preparation Procedures

NEW YORK STATE BOARD OF ELECTIONS

TITLE: TEST DECK PREPARATION (PAPER BALLOT SYSTEMS)

FOR INFORMATION CONTACT: ELECTION OPERATIONS (518) 486-4069

TEST DECK PREPARATION PROCEDURES

Prior to any election in which a paper ballot counting system is to be utilized to electronically tabulate ballots, the following procedures are mandatory.

1. A sufficient amount of extra paper ballots shall be ordered as test ballots for each ballot style required for the election. The number of extra ballots needed per style is determined by identifying the largest contest in the style and then counting the number of candidates in that contest. When this has been determined for all ballot styles, refer to the tables in appendix A to determining the amount of extra ballots needed for each ballot style.
2. After the amount of extra test deck ballots has been determined for each style, the amount should be added to the normal paper ballot print order. All ballots to be used as test ballots are required to have the word TEST printed or hand stamped on the face of each ballot.

VOTING BALLOTS WITH PRE-DETERMINED TEST PATTERN

A. FIRST ROW OR COLUMN PATTERN

Vote this row or column pattern one time for each candidate in the row or column.
Starting with an individual ballot lot, take one ballot and give one vote to the first candidate in each of the vote for one contest. When you have offices that require a vote for more than one start with the first candidate in the multiply vote-for contest and vote the appropriate number to be elected, As an example, in a vote for-any-eleven contest the pattern vote would be as follows:

1st ballot candidates 1,2,3,4,5,6,7,8,9,10,11 are voted.

2nd ballot candidates 2,3,4,5,6,7,8 9,10,11,12 are voted.

3rd ballot candidates 3,4,5,6,7,8, 9,10,11,12,13 are voted

4th ballot candidates 4,5,6,7,8,9,10,11,12,13,14 are voted.

5th ballot candidates 5,6,7,8,9,10,11,12,13,14,15 are voted.

6th ballot candidates 6,7,8,9,10,11,12,13,14,15,16 are voted.

7th ballot candidates 7,8,9,10,11,12,13,14,15,16,17 are voted.

8th ballot candidates 8,9,10,11,12,13,14,15,16,17,18 are voted.

9th ballot candidates 9,10,11,12,13,14,15,16,17,18,19 are voted

10th ballot candidates 10,11,12,13,14,15,16,17,18,19,20 are voted.

11th ballot candidates 11,12,13,14,15,16,17,18,19, 20,21 are voted.

This will complete the pattern vote for the first column or group of the voting. For additional information refer to the exhibit A at the back of these procedures.

B. SECOND ROW, COLUMN OR GROUP PATTERN

Vote this row, column or group pattern 2 times for each candidate in the row, column or group.

Take one ballot and give one vote to the second candidate in each of the vote for one contest. In the multiply vote-for contest start with the first candidate in the second row, column or group and vote the appropriate number to be elected, As an example, in a vote for-any-eleven contest the pattern vote would be as follows:

12th ballot candidates 12, 13,14,15,16,17,18,19,20,21,22 are voted.

13th ballot (same as 12th)

14th ballot candidates 13,14,15,16,17,18,19,20,21,22,23 are voted.

15th ballot (same as 14th)

16th ballot candidates 14,15,16,17,18,19,20,21,22 are voted.

17th ballot (same as 16th)

18th ballot candidates 15, 16,17,18,19,20,21,22 are voted

19th ballot (same as 18th)

20th ballot candidates 16,17,18,19,20,21,22 are voted.

21st ballot (same as 20th)

22nd ballot candidates 17,18,19,20,21,22 are voted.

23rd ballot (same as 22nd)

24th ballot candidates 18,19,20,21,22 are voted

25th ballot (same as the 24th)

26th ballot candidates 19,20,21,22 are voted

27th ballot (same as 26th)

28th ballot candidates 20,21,22 are voted.

29th ballot (same as 28th)

30th ballot candidates 21,22 are voted.

31st ballot (same as 30th)

32nd ballot candidate 22 is voted.

33rd ballot (same as 32nd)

This will complete the pattern vote for the second column or group of the voting. For additional information refer to the exhibit B at the back of these procedures.

This pattern voting by row, column or group continues through all rows, columns and groups of each ballot style until the last candidate in the last row or column of every contest has been voted. The number of ballots voted is increment in conjunction with the row, column or group starting that vote pattern i.e. in the vote for eleven contest with twenty-two candidates consisting of two groups the twenty-second candidate ends the pattern with two ballots being voted for that candidate only.

This pattern will provide test results which will give unique results to every candidate in the race. Each vote-for-one race on all ballot styles will generate the following results: 1 vote for the first candidate, 2 votes for the second candidate, three votes for the third candidate four votes for the fourth candidate etc. The pattern results for multiple vote-for contest are presented in appendix B.

In addition to the pattern test vote the following additional test ballots must be prepared for the election.

1. **OVER-VOTE TEST BALLOT -** Take one ballot and vote every contest one additional candidate over the allowable vote-for in the contest.

   *Note: In a general election where cross-endorsements appear, do not vote the same candidate more then once in a contest. Voting crossed-endorsed candidates more then once will cause a push-vote rather then an over-vote condition.

2. **WRITE-IN TEST BALLOT -** Take one ballot and vote the maximum allowable write-in positions for each contest.

3. **CROSS-ENDORSEMENTS TEST PUSH -** Starting with the first cross-endorsed candidate in every contest vote both the first line and the second line where the cross-endorsed candidate name appears. For example " Governor vote-for-any-one contest" John Jones appears on both the Democratic and Conservative line. You would cast a vote for both John Jones Democratic and John Jones Conservative. In a contest where a candidate has multiple cross-endorsements (3 or 4) or more than one candidate is cross-endorsed, vote a separate ballot for each combination until all combination, have been exhausted.

Only the over-vote test ballot and write-in test ballot are needed for your primary test decks. Cross-endorsements do not apply to primary elections.

Once a test deck has been prepared for every ballot style, it should be verified by running the ballots against the appropriate election ballot software program. All errors should be corrected and the test deck rerun until all pre-determined vote totals by style are verified.

SCANNER BATCH HEADER SHEET PROCEDURES

Turn on the Scanner System

1. Power on the scanner, printer, monitor, and the CPU tower
2. The screen will automatically go to the "C:\" prompt

Clean the Scanner

1. Remove gray roller cover
2. Raise read head and deflector
3. Clean top and bottom red lights with cloth
4. Use canned air
5. Replace read head and deflector
6. Put back gray roller cover
7. Wait 10 to 30 minutes.

Calibrate the Scanner

Calibrate the Top Read Head

1. While holding down left button of scanner, turn power button off then back on.
2. After a few seconds, a message appears: SET-UP
3. Release the left switch, a message appears: UTILITIES? Press YES
4. A message appears: CALIBRATE TOP READ HEAD. Press YES
5. A message appears: READY TOP HEAD CAL SHEETS. Press START
6. Arrange the set of calibration sheets with the cover sheet on top and the four sheets with dots underneath.
7. Place the sheets face up in the input hopper with timing marks towards the front of the scanner. (Timing marks toward you).
8. Press START. Sheets will scan.
9. A message appears: CALIBRATION COMPLETE. Press CONTINUE.

Calibrate the Bottom Read Head

1. A message appears: UTILITIES? Press YES
2. A message appears: CALIBRATE TOP READ HEAD. Press NO
3. A message appears: CALIBRATE BOTTOM READ HEAD. Press YES
4. Remove the cover calibration sheet and turn the remaining sheets over and place face down in the input hopper. The timing marks should be towards the front of the scanner. Place the cover sheet face up on top of the stack. Press START. Sheets will scan.
5. Message appears: CALIBRATION COMPLETE. Press CONTINUE

Exit Setup

1. A message appears: UTILITIES? Press NO.
2. A message appears: DEFAULTS? Press NO
3. A message appears: DIAGNOSTICS? Press NO
4. A message appears: EXIT SET UP. Press YES

Start the TeamWork Software

1. For a General Election:

Type County Name (For example: New York, type “NEWYORK”)
For a Primary Election
Type the three letter party code and the Borough number (For example: New York Democrats, Type “DEM1”)

2. Press “ENTER” 2 times
3. A screen appears: ENTER LOG ON NAME and ENTER PASSWORD.
   Type your logon name and press “ENTER”. Type your password and press “ENTER”.
4. The TeamWork Main menu will appear.

Initialize the Files (Set the System Result totals to Zero)

1. Press “F” and then “ENTER”.
2. A line reads: BUILD ED/AD INFORMATION FILE. Press “Y” and then “ENTER”.
3. A line reads: SET BALLOT TYPE. Press “S” and then “ENTER”
4. A line reads: PRINT REPORT? Press “N” and then “ENTER”.
5. A line reads: PRESS ENTER TO CONTINUE. Press “ENTER”.
6. This will bring you back to the TeamWork Main menu.

Prepare to Scan the Batch Header Sheets

1. Press “L” then “ENTER”.
2. A line reads: BALLOT PROGRAM WILL READ. Press “Y” and then “ENTER”.
3. Line reads: BALLOT COUNTING PROGRAM. Press “Y” then “ENTER”.
4. Line reads: ENTER TEAMWORK COMMAND OR ENTER.
   Type command “PCOPIES=0” and then press “ENTER”.

Scan Batch Header Sheets

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Press “ENTER”.
2. Message appears: MAKE SURE SCANNER IS ON. Hit ENTER.
   Message appears: ENTER TO READ BALLOTS.
3. Place Batch Header Sheets on the input hopper. Press “ENTER”.

Close Final Batch

1. Type “END” then press “ENTER” when batch is finished. (ED reports will be printing.)
2. Press “ENTER”.
3. Type “CC” and then press “ENTER”.

End the Ballot Counting Function

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “EOJ” and press “ENTER”.
2. Message appears: TERMINATE BALLOT COUNTING PROGRAM.
   Press “Y” and then “ENTER”.
3. Message appears: END OF PROGRAM.
   Press “ENTER” and this will bring you back to the TeamWork Main Menu.

Exit TeamWork Software

Press “X” and then “ENTER”. This will bring you to the C:\ prompt.

For a Primary, Repeat the process until all parties’ Batch Header Sheets are complete.

Turn off the Scanner System

Power down scanner, printer, monitor and disk drive tower. Discard any reports printed during the process.

SCANNER PRE-ELECTION TEST PROCEDURES

Turn on the Scanner System

1. Power on the scanner, printer, monitor, and the CPU tower…
2. The screen will automatically go to the "C:\" prompt.

Clean the Scanner

1. Remove gray roller cover
2. Raise read head and deflector
3. Clean top and bottom red lights with cloth
4. Use canned air
5. Replace read head and deflector
6. Put back gray roller cover
7. Wait 10 to 30 minutes.

Calibrate the Scanner

Calibrate the Top Read Head

1. While holding down left button of scanner, turn power button off then back on.
2. After a few seconds, a message appears: SET-UP
3. Release the left switch, a message appears: UTILITIES? Press YES
4. A message appears: CALIBRATE TOP READ HEAD. Press YES
5. A message appears: READY TOP HEAD CAL SHEETS. Press START
6. Arrange the set of calibration sheets with the cover sheet on top and the four sheets with dots underneath.
7. Place the sheets face up in the input hopper with timing marks towards the front of the scanner. (Timing marks toward you).
8. Press START. Sheets will scan.
9. A message appears: CALIBRATION COMPLETE. Press CONTINUE

Calibrate the Bottom Read Head

1. A message appears: UTILITIES ? Press YES
2. A message appears: CALIBRATE TOP READ HEAD. Press NO
3. A message appears: CALIBRATE BOTTOM READ HEAD. Press YES
4. Remove the cover calibration sheet and turn the remaining sheets over and place face down in the input hopper. The timing marks should be towards the front of the scanner. Place the cover sheet face up on top of the stack. Press START. Sheets will scan.
5. Message appears: CALIBRATION COMPLETE. Press CONTINUE.

Exit Setup

6. A message appears: UTILITIES ? Press NO.
7. A message appears: DEFAULTS? Press NO
8. A message appears: DIAGNOSTICS? Press NO
9. A message appears: EXIT SET UP. Press YES

Start the TeamWork Software

1. For a General Election:
   Type County Name (For example: New York, type "NEWYORK")

   For a Primary Election:
   Type the three letter party code and the Boro number (For example: New York Democrats, Type "DEM1")

2. Press "ENTER" 2 times
3. A screen appears: ENTER LOG ON NAME and ENTER PASSWORD.
   Type your logon name and press "ENTER". Type your password and press "ENTER".
4. The TeamWork Main menu will appear.

Initialize the Files (Set the System Result totals to Zero)

1. Press "F" and then "ENTER".
2. A line reads: BUILD ED/AD INFORMATION FILE. Press "Y" and then "ENTER".
3. A line reads: SET BALLOT TYPE. Press "S" and then "ENTER"

4. A line reads: PRINT REPORT? Press “N” and then “ENTER”.
5. A line reads: PRESS ENTER TO CONTINUE. Press “ENTER”.
6. This will bring you back to the TeamWork Main menu.

Prepare to Perform Pre-Tally Test

1. Press “L” then “ENTER”.
2. A line reads: BALLOT PROGRAM WILL READ. Press “Y” and then “ENTER”.
3. Line reads: BALLOT COUNTING PROGRAM. Press “Y” then “ENTER”.
4. Line reads: ENTER TEAMWORK COMMAND OR ENTER.
   Type “BLNKOVR=YES” and then press “ENTER”.

Print Zero Proof Report (Dem and Rep will sign the report)

1. Line reads: ENTER TEAMWORK COMMAND or ENTER.
   Type “PRINT” and then press “ENTER”.
2. Message appears: USING SCOPIES=01. Press “Y” and then “ENTER”.

Scan Test Deck and Print ED Reports

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Press “ENTER”.
2. Message appears: MAKE SURE SCANNER IS ON. Hit ENTER.
   Message appears: ENTER TO READ BALLOTS.
3. Place test deck on the input hopper. Press “ENTER”.

Close Final Batch

1. Type “END” then press “ENTER” when batch is finished. (ED reports will be printing.)
2. Press “ENTER”.
3. Type “CC” and then press “ENTER”.

Print Summary Report (Dem and Rep will sign report)

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “PRINT” and then press “ENTER”.

2. Message appears: Using SCOPIES=01.
   Press “Y” and then “ENTER”. Summary Report will print.

End the Ballot Counting Function

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “EOJ” and press “ENTER”.
2. Message appears: TERMINATE BALLOT COUNTING PROGRAM.
   Press “Y” and then “ENTER”.
3. Message appears: END OF PROGRAM.
   Press “ENTER” and this will bring you back to the TeamWork Main Menu.

Exit TeamWork Software

Press “X” and then “ENTER”. This will bring you to the C:\ prompt.

Turn off the Scanner System

Power down scanner, printer, monitor and disk drive tower.

SCANNER CANVASS PROCEDURES

Turn on Scanner System

1. Power on the scanner, printer, monitor, and the CPU tower.
2. The screen will automatically go to the “C:\”prompt..

Clean Scanner

1. Remove gray roller cover
2. Raise read head and deflector
3. Clean top and bottom red lights with cloth
4. Use canned air
5. Replace read head and deflector
6. Put back gray roller cover
7. Wait 10 to 30 minutes.

Calibrate Scanner

Calibrate Top Read Head

1. While holding down left button of scanner, turn power button off then back on.
2. After a few seconds, a message appears: SET-UP
3. Release the left switch, a message appears: UTILITIES? Press YES
4. A message appears: CALIBRATE TOP READ HEAD. Press YES
5. A message appears: READY TOP HEAD CAL SHEETS. Press START
6. Arrange the set of calibration sheets with the cover sheet on top and the four sheets with dots underneath.
7. Place the sheets face up in the input hopper with timing marks towards the front of the scanner. (Timing marks toward you).
8. Press START. Sheets will scan.

9. A message appears: CALIBRATION COMPLETE. Press CONTINUE

Calibrate Bottom Read Head

1. A message appears: UTILITIES? Press YES
2. A message appears: CALIBRATE TOP READ HEAD. Press NO
3. A message appears: CALIBRATE BOTTOM READ HEAD. Press YES
4. Remove the cover calibration sheet and turn the remaining sheets over and place face down in the input hopper. The timing marks should be towards the front of the scanner. Place the cover sheet face up on top of the stack. Press START. Sheets will scan.
5. Message appears: CALIBRATION COMPLETE. Press CONTINUE

Exit Setup

1. A message appears: UTILITIES? Press NO.
2. A message appears: DEFAULTS? Press NO
3. A message appears: DIAGNOSTICS? Press NO
4. A message appears: EXIT SET UP. Press YES

Start TeamWork Software

1. For a General Election:
   - Type County Name (For example: New York, type “NEWYORK”)
2. For a Primary Election

   Type the three letter party code and the Boro number (For example: New York Democrats, Type “DEM1”)
3. Press “ENTER” 2 times
4. A screen appears: ENTER LOG ON NAME and ENTER PASSWORD.
   Type your logon name and press “ENTER”. Type your password and press “ENTER”.
5. The TeamWork Main menu will appear.

Initialize Files (Set the System Result totals to Zero)

1. Press “F” and then “ENTER”.
2. A line reads: BUILD ED/AD INFORMATION FILE. Press “Y” and then “ENTER”.
3. A line reads: SET BALLOT TYPE. Press “S” and then “ENTER”
4. A line reads: PRINT REPORT? Press “N” and then “ENTER”.
5. A line reads: PRESS ENTER TO CONTINUE. Press “ENTER”.
6. This will bring you back to the TeamWork Main menu.

Prepare to Perform Tally of Ballots

1. Press “L” and then “ENTER”.
2. A line reads: BALLOT PROGRAM WILL READ. Press “Y” and then “ENTER”.
3. A line reads: BALLOT COUNTING PROGRAM. Press “Y” and then “ENTER”.

Print Zero Proof Report (Dem and Rep will sign report)

1. Line reads: ENTER TEAMWORK COMMAND or ENTER.
   Type “PRINT” and then press “ENTER”.
2. .Message appears: USING SCOPIES =01. Press “Y” and then “ENTER”.

Scan the Batches of Ballots and Print ED Reports

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Press “ENTER”.

Message appears: MAKE SURE SCANNER IS ON. Hit ENTER.
Message appears: ENTER TO READ BALLOTS.

2. Place batches on the input hopper. Press “ENTER”.
3. Type “END” then press “ENTER” when batches are finished. (The last ED report will be print.)

End the Ballot Counting Function

1. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “EOJ” and press “ENTER”.
2. Message appears: TERMINATE BALLOT COUNTING PROGRAM.
   Press “Y” and then “ENTER”.
3. Message appears: END OF PROGRAM.
   Press “ENTER” and this will bring you back to the TeamWork Main Menu.

Manually Enter Ballots into TeamWork

1. Press “K” and then “ENTER”
2. Press “Y” and then “ENTER”
3. Type your last name and then press “ENTER”
4. Type the ED/AD (i.e. for 1/23 type 00123) and then press “ENTER”
5. Press “Y” and then “ENTER”
6. Press “U” and then “ENTER”
7. Enter Vote totals for each candidate.
8. For each ED repeat steps 1 – 7
9. After last ED type “END” and press “ENTER”
10. Press “ENTER” and this will bring you back to the TeamWork Main Menu

Print Summary Report (Dem and Rep will sign report)

1. Press “L” and then “ENTER”.
2. A line reads: BALLOT PROGRAM WILL READ. Press “Y” and then “ENTER”.
3. A line reads: BALLOT COUNTING PROGRAM. Press “Y” and then “ENTER”.
4. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “PRINT” and then press “ENTER”.

5. Message appears: Using SCOPIES=01.
   Press “Y” and then “ENTER”. Summary Report will print.
6. Message appears: ENTER TEAMWORK COMMAND or ENTER.
   Type “EOJ” and press “ENTER”.
7. Message appears: TERMINATE BALLOT COUNTING PROGRAM.
   Press “Y” and then “ENTER”.
8. Message appears: END OF PROGRAM.
   Press “ENTER” and this will bring you back to the TeamWork Main Menu.

Exit TeamWork Software

Press “X” and then “ENTER”. This will bring you to the C:\ prompt.

Turn off the Scanner System

Power down scanner, printer, monitor and disk drive tower

TEAMWORK SYSTEM BACKUP PROCEDURES

Start the TeamWork Software

1. For a General Election:
2. Type County Name (For example: New York, type “NEWYORK”)
3. For a Primary Election:

   Type the three letter party code and the Boro number (For example: New York Democrats, Type “**DEM1**”)
4. Press “ENTER” 2 times
5. A screen appears: ENTER LOG ON NAME and ENTER PASSWORD.

   Type your logon name and press “ENTER”. Type your password and press “ENTER”.
6. The TeamWork Main menu will appear.

Start the Backup

1. At the TeamWork Main Menu Press “U”
2. A line reads: ENTER SELECTION. Press “1” and then “ENTER”.
3. A line reads: Enter BACKUP Diskette Drive Letter. Press “A” and then “ENTER”
4. Insert a blank Floppy Disk into the A:\ Drive
5. A line reads: Press Y when Diskette is ready. Press “Y” and then “ENTER”.
6. A line reads: Press <ENTER> to Continue. Press “ENTER”.
7. Repeat steps 2 through 6 to make a second copy of the backup.
8. A line reads: ENTER SELECTION. Press “9” and then “ENTER”.
9. The TeamWork Main menu will appear.

TEAMWORK SYSTEM TRANSFER PROCEDURES

Start the TeamWork Software

1. For a General Election:

   Type County Name (For example: New York, type "**NEWYORK**")

2. For a Primary Election:

   Type the three letter party code and the Boro number (For example: New York Democrats, Type "**DEM1**")

3. Press "ENTER" 2 times

4. A screen appears: ENTER LOG ON NAME and ENTER PASSWORD.
   Type your logon name and press "ENTER". Type your password and press "ENTER".

5. The TeamWork Main menu will appear.

Create Transfer Diskettes (On Systems number 2 and 3)

1. At the TeamWork Main Menu Press "M"
2. A line reads: Create Transfer File. Press "Y" and then "ENTER".
3. A line reads: Print Report. Press "Y" and then "ENTER".
4. A line reads: Press <ENTER> to Continue. Press "ENTER".
5. A line reads: Enter Output Drive Letter. Press "A" and then "ENTER"
6. Insert a blank Floppy Disk into the A:\ Drive
7. A line reads: IS DISKETTE IN DRIVE. Press "Y" and then "ENTER".
8. The TeamWork Main menu will appear.

Read Transfer Diskettes (On System number 1)

1. At the TeamWork Main Menu Press "N"
2. A line reads: Enter Input Drive Letter. Press "A" and then "ENTER"

3. Insert the transfer Floppy Disk from system 2 into the A:\ Drive
4. A line reads: IS DISKETTE IN DRIVE. Press “Y” and then “ENTER”.
5. A line reads: Process Transfer File. Press “Y” and then “ENTER”.
6. A line reads: Print Summary Report before merging results. Press “N” and then “ENTER”.
7. A line reads: Print Summary Report after merging results. Press “N” and then “ENTER”.
8. A line reads: Press <ENTER> to Continue. Press “ENTER”.
9. The TeamWork Main menu will appear.
10. Remove Transfer Diskette from Drive.
11. Repeat steps 1 though 10 for transfer diskette from system 3 if needed.

TEAMWORK SYSTEM EXPORT PROCEDURES

Exit TeamWork Software

At the TeamWork main menu, press “X” and then “ENTER”. This will bring you to the C:\ prompt.

Start the Export

1. For a General Election:

   Type export#, # being the county number (For example: New York, type “**EXPORT1**”)

2. For a Primary Election:

   Type export#*, # being the county number and * being the party code (For example: New York Democratic Party, type “EXPORT1D”)

3. Press “ENTER” to pass the license screen
4. A line reads: CURRENT ELECTION: Name of Election – Make sure this is correct
5. A line reads: IS ANSWER CORRECT. Press “Y” and then “ENTER”
6. A line reads: Press <ENTER> to Continue. Press “ENTER”.
7. A line reads: Enter Output Drive Letter. Press “A” and then “ENTER”.
8. Insert a blank Floppy Disk into the A:\ Drive
9. A line reads: IS DISKETTE IN DRIVE. Press “Y” and then “ENTER”.
10. This will bring you back to the C:\ Prompt.

NOTE: Make two copies of the export disk.

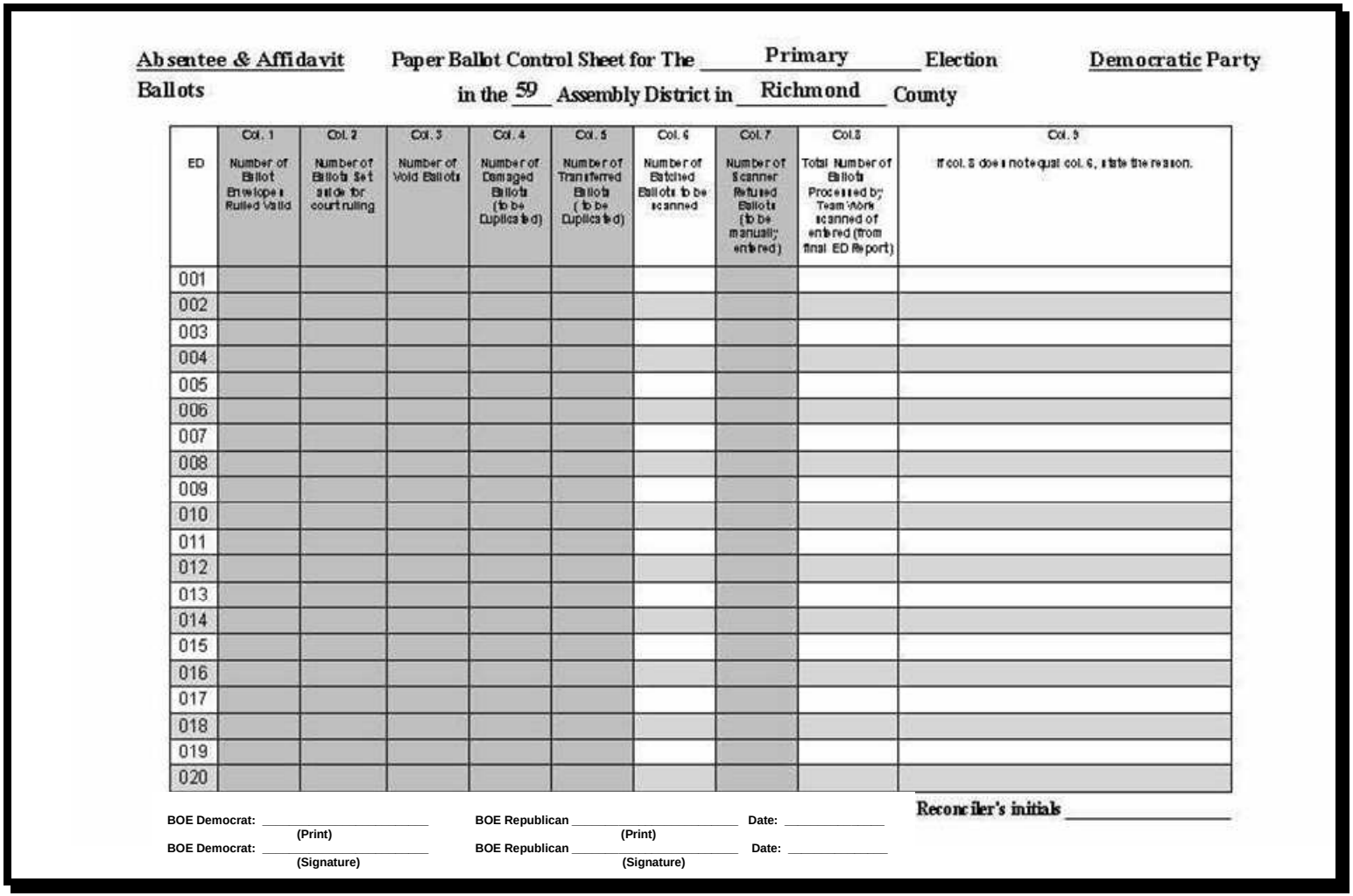
15.8.1 Turn off the Scanner System

Power down scanner, printer, monitor and disk drive tower. Discard any reports printed during the process.

in the _____ Assembly District in _____ County

	Col. 1	Col. 2	Col. 3	Col. 4
	Total Sent to Scanning Area	Total received in Scanning Area	Total Scanned	Number of Scanner-refused Ballots (to be manually entered)
ED _____				
	Total Sent to Scanning Area	Total received in Scanning Area	Total Scanned	Number of Scanner-refused Ballots (to be manually entered)
ED _____				
	Total Sent to Scanning Area	Total received in Scanning Area	Total Scanned	Number of Scanner-refused Ballots (to be manually entered)
ED _____				
	Total Sent to Scanning Area	Total received in Scanning Area	Total Scanned	Number of Scanner-refused Ballots (to be manually entered)
ED _____				
	Total Sent to Scanning Area	Total received in Scanning Area	Total Scanned	Number of Scanner-refused Ballots (to be manually entered)
ED _____				

Figure 22. TeamWork Scanning Cover Sheet



Absentee & Affidavit Ballots — Paper Ballot Control Sheet for The Primary Election — Democratic Party

in the 59 Assembly District in Richmond County

ED	Col. 1 Number of Ballot Envelopes Ruled Valid	Col. 2 Number of Ballots Set aside for court ruling	Col. 3 Number of Void Ballots	Col. 4 Number of Damaged Ballots (to be Duplicated)	Col. 5 Number of Transferred Ballots (to be Duplicated)	Col. 6 Number of Batched Ballots to be scanned	Col. 7 Number of Scanner Refused Ballots (to be manually entered)	Col.8 Total Number of Ballots Processed by Team/Work scanned of entered (from final ED Report)	Col. 9 If col. 8 does not equal col. 6, state the reason.
001									
002									
003									
004									
005									
006									
007									
008									
009									
010									
011									
012									
013									
014									
015									
016									
017									
018									
019									
020									

Reconciler's initials _____

BOE Democrat: _____ (Print) BOE Republican _____ (Print) Date: _____

BOE Democrat: _____ (Signature) BOE Republican _____ (Signature) Date: _____

Figure 23. Absentee/Special, Military and Affidavit Paper Ballot Control Sheet

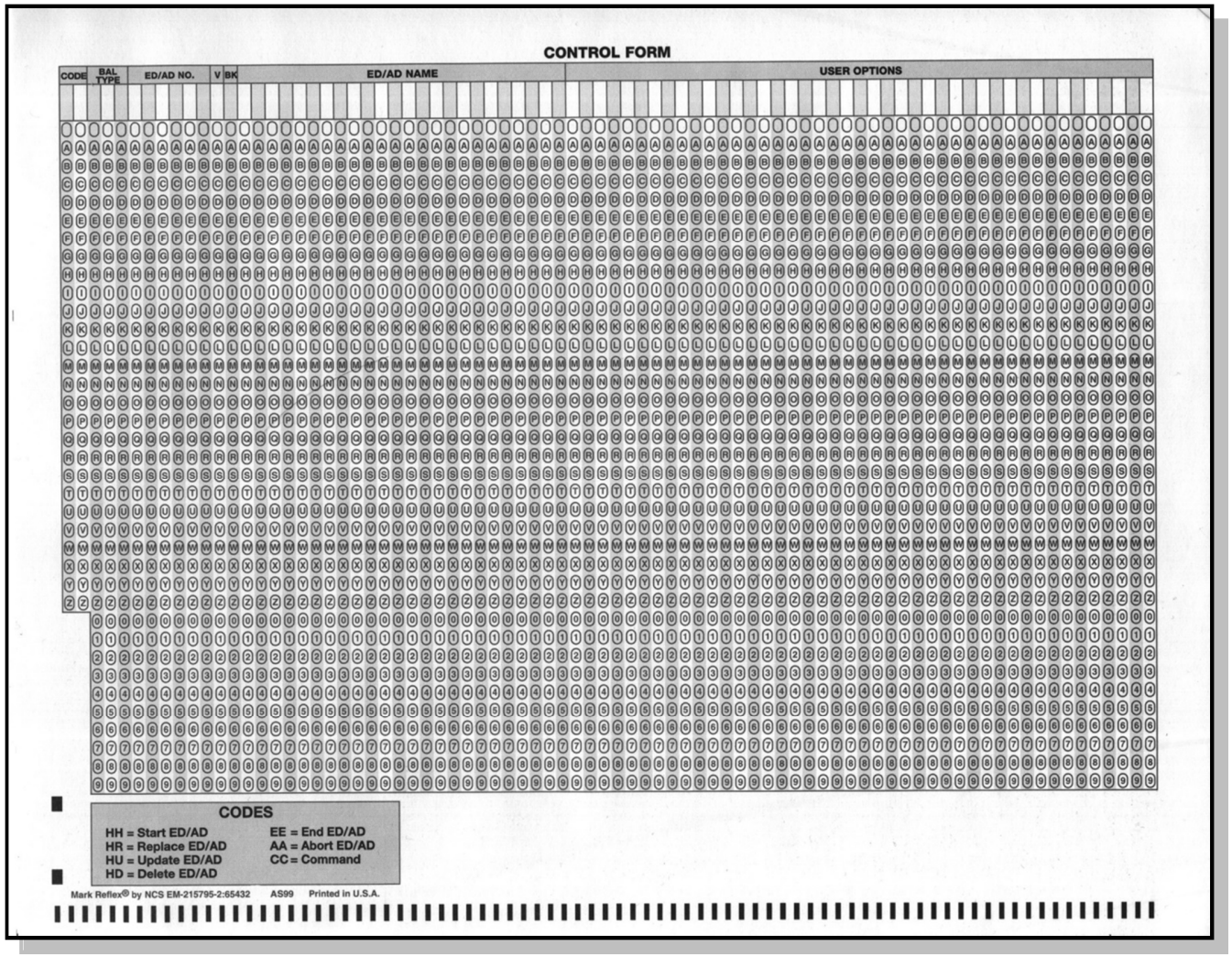


Figure 24. Paper Ballot Batch Header Sheet

16.0 BMD AFFIDAVIT BALLOT CANVASSING

16.1 Purpose and Assumptions

In the room where all paper ballots are canvassed/re-canvassed, valid Absentee and Affidavit ballot envelopes, invalid Absentee and Affidavit ballot envelopes are brought to the staging tables. Lead Persons ensure that all needed supplies and forms, Canvass Worksheets and Control Sheets are present on the table. Canvass Clerks, Tally Clerks and Reconcilers in bi-partisan teams then open and canvass or re-canvass the ballots, and track the process on the Control Sheets.

There are two different options to count BMD Affidavit Ballots. Both options are viable and the decision is up to each individual borough, on an election-by-election basis. Please note that based on the option selected, the tasks assigned to the roles vary:

Option 1: Focuses on completing the count AD by AD. This is primarily used for larger elections (for example, a large borough or a General or large Primary election).

Option 2: Focuses on completing the count ED by ED. This is primarily used for smaller elections (for example, a small borough or a Special election or small Primary Election).

The purpose of this section is to provide detailed procedures for canvassing BMD Affidavit ballots by assembly districts or canvassing BMD Affidavit ballots by election districts.

BMD AFFIDAVIT BALLOT CANVASSING

Assumptions

- Voters used Ballot Marking Device (BMD) Affidavit ballots at pollsites
- BMD Affidavit ballots canvassed are valid
-

16.2 Detailed Procedures

OPTION 1: CANVASS AND TALLY OF BMD AFFIDAVIT BALLOTS (By AD)

Canvass Clerk:

Follow the procedures for canvassing Absentee and Affidavit ballots in *Section 15.0* Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots through the opening of the envelopes, shuffling the ballots, and writing the ED/AD and the letter "A" on the back of the ballot **IN RED INK ONLY**. Separate the BMD Affidavit ballots from all the other ballots and continue to canvass the other ballots following the procedures laid out in *Section 15.0* Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots and canvass the BMD affidavit ballots as follows:

Step 1. Ensure that the following BMD affidavit ballot canvassing forms are present:

- Control Sheet for Absentee and Affidavit Ballots – At the Batching Table
- BMD Affidavit Ballot Control Sheet) – At the Batching Table
- BMD Affidavit Ballot Canvass Worksheet – At the Tally Table
- Pink Write-in Form – At the Tally Table

Step 2. Consistent with *Section 15.0*, display each Affidavit Ballot Envelope to any duly appointed watchers present before opening. After the affidavit ballot(s) are removed from the envelopes and mixed, display each ballot to any duly appointed watcher present. If there is a challenge to any ballot, the clerks note the challenge. The leading borough Democrat and Republican or their designees make a ruling. If both agree, their ruling is final. If they are divided, the ballot is set aside for three days and then it will be counted, unless a court order is received.

Step 3. Record the number of BMD Affidavit ballots set aside for manual canvassing on the Control Sheet for Absentee and Affidavit Ballots in Column 1a and in Column 1 on the BMD Affidavit Ballot Control Sheet.

Step 4. Enter into col. 2 of the BMD Affidavit Ballot Control Sheet the number of ballots set aside for possible court ruling.

Step 5. Identify any ballots that should be voided. Write on the ballot that it was ruled void and indicate the reason. The following are reasons why a ballot would be determined to be void:

Step 6. There is more than one ballot in the envelope;

Step 7. There is an *intentional mark* on the ballot, such as a signature or symbol that could have the effect of identifying the voter.

Step 8. Unintentional or irregular marks on the ballot are not a basis for voiding the ballot.

Step 9. The Canvass Clerks set aside the voided ballots on the Batching Table. Record the total number of void ballots in col. 3 of the BMD Affidavit Ballot Control Sheet.

Step 10. Record the number of ballots to be sent to the Tally Clerks into column 4 on the BMD Affidavit Ballot Control Sheet. This should equal column 1 minus the sum of column 2 plus column 3. [col. 4 = col. 1 – (col. 2 + col. 3)]

Step 11. When an ED is complete, record the ED/AD and the number of ballots on the BMD ED Separator Sheet and paper clip it to the ED's ballots.

Step 12. When an AD is complete, pass all the BMD Affidavit ballots, the attached BMD ED Separator Sheets and the BMD Affidavit Ballot Control Sheet for that AD over to the BMD Tally Clerks.

BMD Tally Clerk:

At the BMD Tally Table, a bi-partisan team of two BMD Tally Clerks tally the BMD Affidavit ballots.

Step 1. Receive BMD Affidavit ballots, the attached BMD ED Separator Sheets and BMD Affidavit Ballot Control Sheet from the Canvass Clerks for each AD.

Step 2. For each ED, verify that the number of ballots on the BMD ED Separator Sheet match the number of the ballots received and the number in Column 4. If the numbers do not match, resolve the discrepancy. If the discrepancy cannot be resolved, notify the Lead Persons.

Step 3. Display each BMD Affidavit Ballot to any duly appointed watchers present before counting. If there is a challenge to any ballot, the clerks note the challenge. The leading borough Democrat and Republican or their designees make a ruling. If both agree, their ruling is final. If they are divided, the ballot is set aside for three days and then it will be counted, unless a court order is received. Enter into col. 2 of the BMD Affidavit Ballot Control Sheet the number of ballots set aside for possible court ruling.

Step 4. Working one ED at a time, count the number of ballots and write the number on the BMD Affidavit Canvass Worksheet and BMD Affidavit Ballot Control Sheet in Column 5. If the number in Column 4 does not match the number in Column 5, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 6 and notify the Lead Persons.

Step 5. Tally the vote by recording one tick mark for each voted for candidate from each ballot in an ED on the BMD Affidavit Canvass Worksheet.

IMPORTANT: Do not record votes for a candidate in an office where the voter voted for more candidates than allowed.

IMPORTANT: If a voter marked more than one vote for the SAME CANDIDATE, only record one tick mark for that Candidate in the left most party voted for.

Step 1. If ballots have Write-in votes, record the ED/AD, ballot kind, party, and office and Write-in name on the pink Write-in Form. Be careful to record the name exactly as it appears on the ballot. (Any decisions regarding the normalization of names will be made later in the process.) Set the form aside on the BMD Tally Table.

Step 2. When the ED is complete, add up the tick marks for each candidate and record the total on the BMD Affidavit Canvass Worksheet in the space provided.

Step 3. Place BMD Affidavit ballots and attached BMD ED Separator Sheet in the retention box for the appropriate AD. (**NOTE:** This is the same box as the BMD ballots)

Step 4. At the end of the canvass, send the BMD Affidavit Canvass Worksheet and the pink Write-in Forms to the Borough's S-Elect Department.

Step 5. Set aside the BMD Affidavit Ballot Control Sheet for reconciliation.

Reconciler:

Step 1. Review Control Sheets, comparing Column 1a on the Control Sheet for Absentee and Affidavit Ballots to Column 1 on the BMD Affidavit Ballot Control Sheet.

Step 2. If the number in Column 1a on the Control Sheet for Absentee and Affidavit Ballots does not match the number in Column 1 on the BMD Affidavit Ballot Control Sheet, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 9 on the Control Sheet for Absentee and Affidavit Ballots and Column 6 on the BMD Affidavit Ballot Control Sheet and notify the Lead Persons.

Step 3. Review BMD Affidavit Ballot Control Sheets, comparing Column 4 to Column 5 ensuring that all BMD ballots were tallied.

Step 4. If the number in Column 4 does not match the number in Column 5, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 6 and notify the Lead Persons.

Step 5. Bi-partisan team of reconcilers sign and date complete control sheet.

Lead Persons:

After the canvass and the data entry into S-Elect is complete, ensure that the ballots (including voided ballots), BMD Affidavit Ballot Control Sheets, BMD Affidavit Canvass Worksheets, BMD ED Separator Sheets and pink Write-in Forms are archived.

OPTION 2: CANVASS AND TALLY OF BMD AFFIDAVIT BALLOTS (By ED)

Canvass Clerk:

Follow the procedures for canvassing Absentee and Affidavit ballots in *Section 15.0* Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots through the opening of the envelopes, shuffling the ballots, and writing the ED/AD and the letter "A" on the back of the ballot **IN RED INK ONLY**. Separate the BMD Affidavit ballots from all the other ballots and after each ED is complete pass all BMD Affidavit Ballots to BMD Tally Table. Continue to canvass the other ballots following the procedures laid out in *15.0* Canvass of Absentee/Military/Special, Affidavit, Presidential, and Federal Ballots.

Step 1. Ensure that the following BMD ballot canvassing forms are present:

- Control Sheet for Absentee and Affidavit Ballots – At the Batching Table
- BMD Affidavit Ballot Control Sheet – At the Tally Table
- BMD Affidavit Ballot Canvass Worksheet – At the Tally Table
- Pink Write-in Form – At the Tally Table

Step 2. Consistent with *Section 15.0*, display each Affidavit Ballot Envelope to any duly appointed watchers present before opening. If there is a challenge to any envelope, the clerks note the challenge. The leading borough Democrat and Republican or their designees make a ruling. If both agree, their ruling is final. If they are divided, the envelope is set aside for three days and then it will be opened, unless a court order is received.

Step 3. Enter into col. 2 of the Control Sheet for Absentee and Affidavit Ballots the number of envelopes set aside for possible court ruling.

Step 4. Open the envelopes, set aside the BMD Affidavit ballots and record the number of BMD Affidavit ballots on the Control Sheet for Absentee and Affidavit Ballots in Column 1a.

Step 5. When an ED is complete, Record the ED/AD and the number of BMD ballots that need to be manually canvassed on the BMD ED Separator. Paper clip the BMD ballots to the BMD ED Separator Sheet and pass all the BMD Affidavit ballots over to the BMD Tally Clerks.

Step 6. When an AD is complete, pass the Control Sheet for Absentee and Affidavit Ballots for that AD over to the BMD Tally Clerks.

BMD Tally Clerk:

At the BMD Tally Table a bi-partisan team of BMD tally clerks tally the BMD Affidavit ballots.

Step 1. Verify that the number of ballots on the BMD ED Separator Sheet match with the number of the ballots received from the Canvass Clerk.

Step 2. Record the number of BMD Affidavit ballots for manual canvassing in Column 1 on the BMD Affidavit Ballot Control Sheet.

Step 3. Display each BMD Affidavit ballot to any duly appointed watchers present before counting. If there is a challenge to any ballot, the clerks note the challenge. The leading borough Democrat and Republican or their designees make a ruling. If both agree, their ruling is final. If they are divided, the ballot is set aside for three days and then it will be counted, unless a court order is received. Enter into col. 2 of the BMD Affidavit Ballot Control Sheet the number of ballots set aside for possible court ruling.

Step 4. Identify any ballots that should be <u>voided</u>. Write on the ballot that it was ruled void and indicate the reason. The following is a reason why a ballot would be determined to be void:

Step 5. There is an *intentional mark* on the ballot, such as a signature or symbol that could have the effect of identifying the voter.

Step 6. Unintentional or irregular marks on the ballot are not a basis for voiding the ballot.

Step 7. The Tally Clerks set aside the voided ballots on the Tally Table. They record the total number of void ballots in col. 3 of the BMD Affidavit Ballot Control Sheet.

Step 8. Record the total number of BMD Affidavit ballots to be tallied into column 4 on the BMD Affidavit Ballot Control Sheet. It should equal column 1 minus the sum of column 2 plus column 3 [col. 4 = col. 1 – (col. 2 + col. 3)]. If the number in Column 4 does not match the number in Column 5, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 6 and notify the Lead Persons.

Step 9. Count the number of BMD Affidavit ballots and write the number on the BMD Affidavit Canvass Worksheet and BMD Affidavit Ballot Control Sheet in Column 5

Step 10. Tally the vote by recording one tick mark for each voted for candidate from each ballot in an ED on the BMD Affidavit Canvass Worksheet.

IMPORTANT: Do not record votes for a candidate in an office where the voter voted for more candidates than allowed.

IMPORTANT: If a voter marked more than one vote for the SAME CANDIDATE, only record one tick mark for that Candidate in the left most party voted for.

Step 11. If ballots have Write-in votes, record the ED/AD, ballot kind, party, and office and Write-in name on the pink Write-in Form. Be careful to record the name exactly as it appears on the ballot. (Any decisions regarding the normalization of names will be made later in the process.) Set the form aside on the BMD Tally Table.

Step 12. When the ED is complete, add up the tick marks for each candidate and record the total on the BMD Affidavit Canvass Worksheet in the space provided.

Step 13. Place BMD Affidavit Ballots and the BMD ED Separator Sheet in the retention box for the appropriate AD. (**NOTE:** This is the same box as the BMD ballots)

Step 14. At the end of the canvass, send the BMD Affidavit Canvass Worksheets and the pink Write-in Forms to the Borough's S-Elect Department.

Step 15. Set aside the Control Sheet for Absentee and Affidavit Ballots and the BMD Affidavit Ballot Control Sheets for reconciliation.

Reconciler:

Step 1. Review Control Sheets, comparing Column 1a on the Control Sheet for Absentee and Affidavit Ballots to Column 1 on the BMD Affidavit Ballot Control Sheet.

Step 2. If the number in Column 1a on the Control Sheet for Absentee and Affidavit Ballots does not match the number in Column 1 on the BMD Affidavit Ballot Control Sheet, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 9 on the Control Sheet for Absentee and Affidavit Ballots and Column 6 on the BMD Affidavit Ballot Control Sheet and notify the Lead Persons.

Step 3. Review BMD Affidavit Ballot Control Sheets, comparing Column 4 to Column 5 ensuring that all BMD ballots were tallied.

Step 4. If the number in Column 4 does not match the number in Column 5, resolve the discrepancy. If you cannot resolve the discrepancy, note the issue in Column 6 and notify the Lead Persons.

Step 5. Bi-partisan team of reconcilers sign and date complete control sheet.

Lead Persons:

After the canvass and the data entry into S-Elect is complete, ensure that the BMD Affidavit Ballots (including voided ballots), BMD Affidavit Ballot Control Sheets, BMD Affidavit Canvass Worksheets, BMD ED Separator Sheets and pink Write-in Forms are archived.

16.3 BMD BALLOT CANVASSING TROUBLESHOOTING GUIDE

Some common issues arise during the canvassing process. Recommended actions to take are shown below:

- BMD ballots are not supposed to have stubs attached. If a stub is attached to a ballot, leave it attached to the ballot.
- If a stub that is attached to a BMD ballot later becomes separated, staple a note about the circumstances on the stub (not on the ballot) and then put the stub into the appropriate used stub envelope for that ED/AD.
- If you find any ballot marked “POLLSITE TEST” or “TEST”, set it aside. Do not count the ballot. Notify the Lead Person.
- If you find a hand-marked BMD affidavit ballot, treat it as any other BMD affidavit ballot.
- If you find something in the large red and white Affidavit Envelope that does not belong in the envelope (i.e. voter card, time sheet etc.), notify the Lead Person.

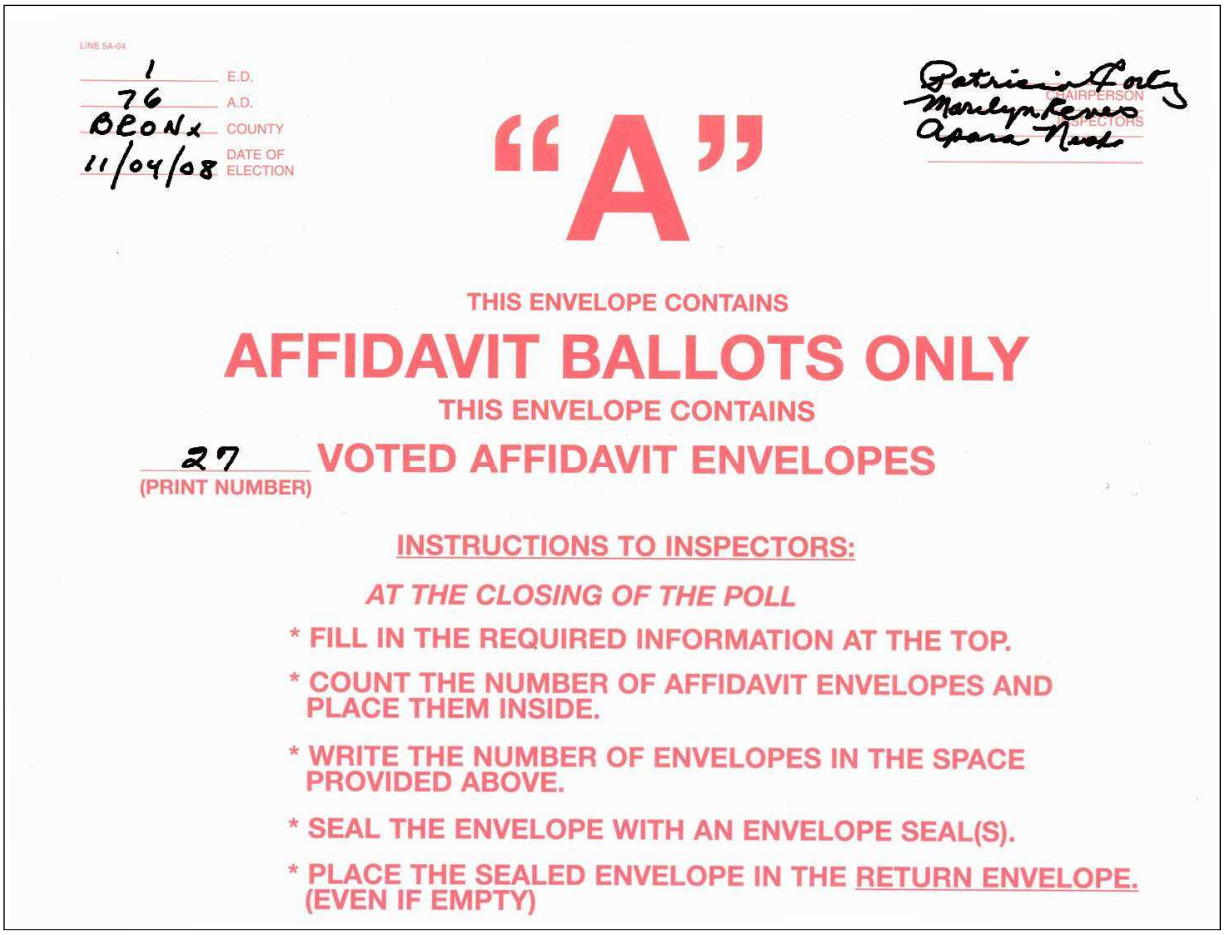
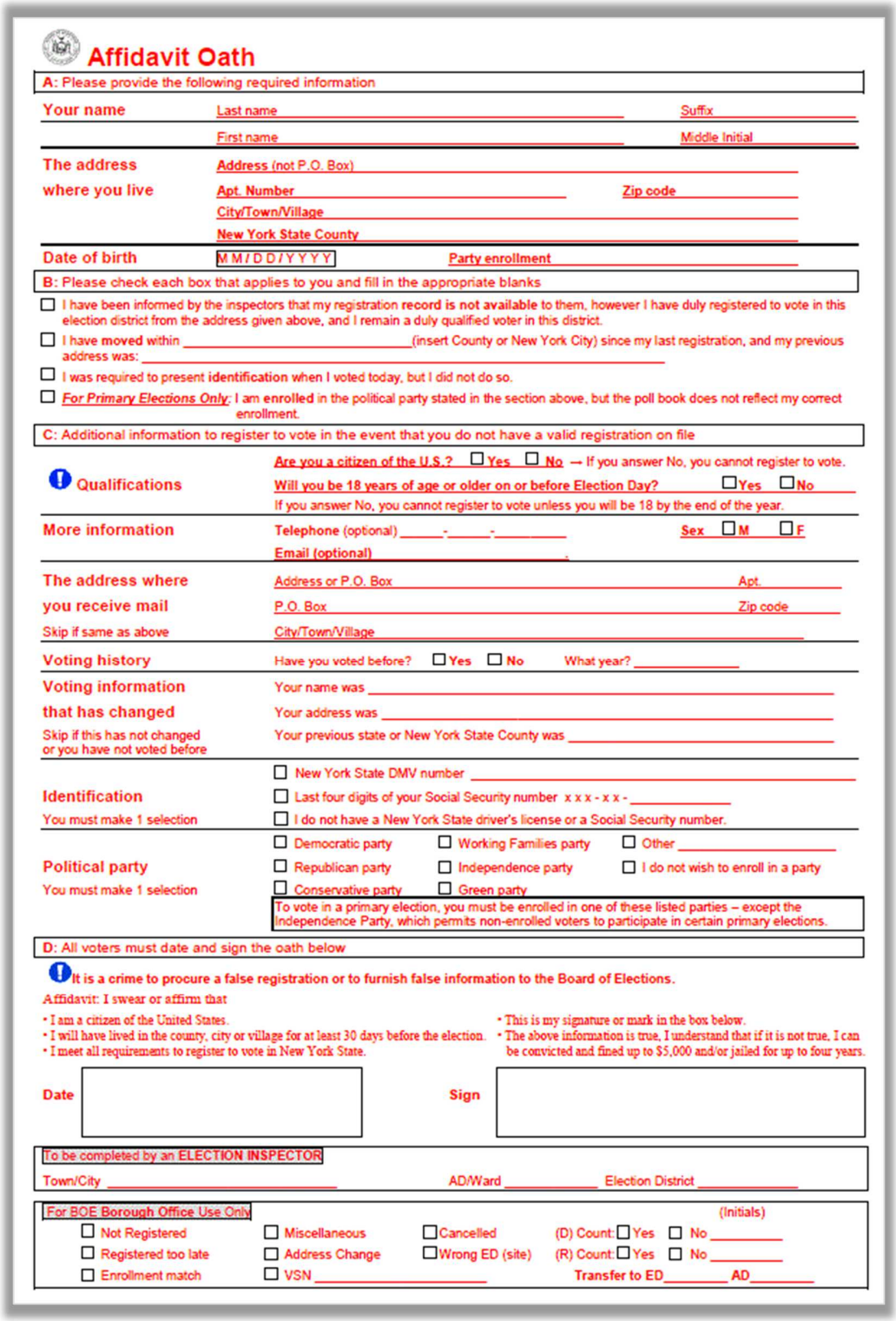


Figure 25. Large red and white Affidavit Envelope



Affidavit Oath

A: Please provide the following required information

Your name — Last name — Suffix
First name — Middle Initial

The address where you live — Address (not P.O. Box)
Apt. Number — Zip code
City/Town/Village
New York State County

Date of birth — MM / DD / YYYY — Party enrollment

B: Please check each box that applies to you and fill in the appropriate blanks

☐ I have been informed by the inspectors that my registration **record is not available** to them, however I have duly registered to vote in this election district from the address given above, and I remain a duly qualified voter in this district.
☐ I have **moved** within _____(insert County or New York City) since my last registration, and my previous address was: _____
☐ I was required to present **identification** when I voted today, but I did not do so.
☐ ***For Primary Elections Only***: I am **enrolled** in the political party stated in the section above, but the poll book does not reflect my correct enrollment.

C: Additional information to register to vote in the event that you do not have a valid registration on file

Qualifications — Are you a citizen of the U.S.? ☐ Yes ☐ No → If you answer No, you cannot register to vote.
Will you be 18 years of age or older on or before Election Day? ☐ Yes ☐ No
If you answer No, you cannot register to vote unless you will be 18 by the end of the year.

More information — Telephone (optional) ___-___-____ Sex ☐ M ☐ F
Email (optional) _____

The address where you receive mail — Address or P.O. Box _____ Apt. _____
P.O. Box _____ Zip code _____
Skip if same as above — City/Town/Village _____

Voting history — Have you voted before? ☐ Yes ☐ No What year? _____

Voting information that has changed — Your name was _____
Your address was _____
Skip if this has not changed or you have not voted before — Your previous state or New York State County was _____

Identification — You must make 1 selection
☐ New York State DMV number _____
☐ Last four digits of your Social Security number x x x - x x - _____
☐ I do not have a New York State driver's license or a Social Security number.

Political party — You must make 1 selection
☐ Democratic party ☐ Working Families party ☐ Other _____
☐ Republican party ☐ Independence party ☐ I do not wish to enroll in a party
☐ Conservative party ☐ Green party
To vote in a primary election, you must be enrolled in one of these listed parties – except the Independence Party, which permits non-enrolled voters to participate in certain primary elections.

D: All voters must date and sign the oath below

It is a crime to procure a false registration or to furnish false information to the Board of Elections.

Affidavit: I swear or affirm that
- I am a citizen of the United States.
- I will have lived in the county, city or village for at least 30 days before the election.
- I meet all requirements to register to vote in New York State.
- This is my signature or mark in the box below.
- The above information is true, I understand that if it is not true, I can be convicted and fined up to $5,000 and/or jailed for up to four years.

Date _____ Sign _____

To be completed by an ELECTION INSPECTOR
Town/City _____ AD/Ward _____ Election District _____

For BOE Borough Office Use Only (Initials)
☐ Not Registered ☐ Miscellaneous ☐ Cancelled (D) Count: ☐ Yes ☐ No _____
☐ Registered too late ☐ Address Change ☐ Wrong ED (site) (R) Count: ☐ Yes ☐ No _____
☐ Enrollment match ☐ VSN _____ Transfer to ED _____ AD _____

Figure 26. Small Affidavit Envelope

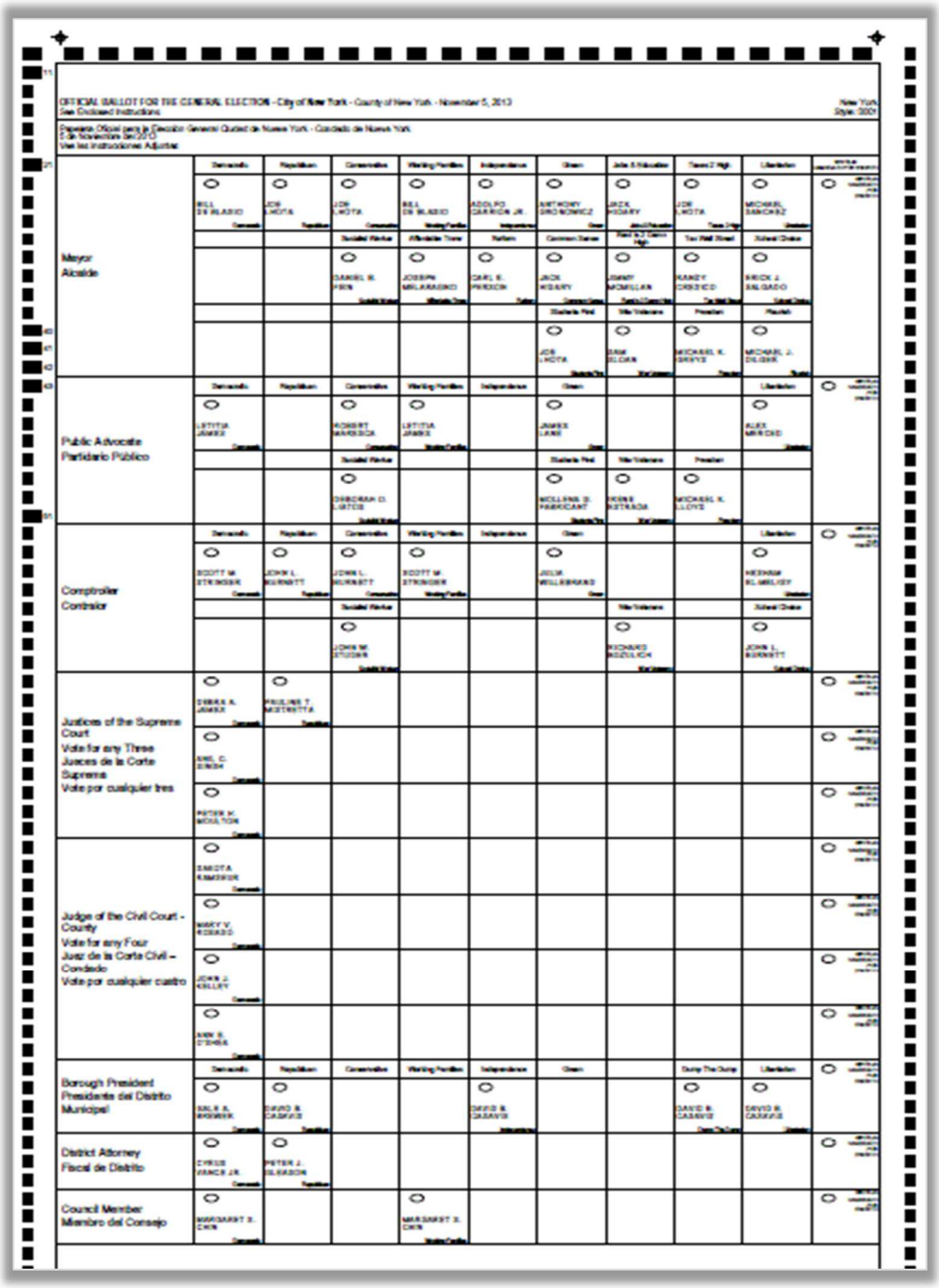
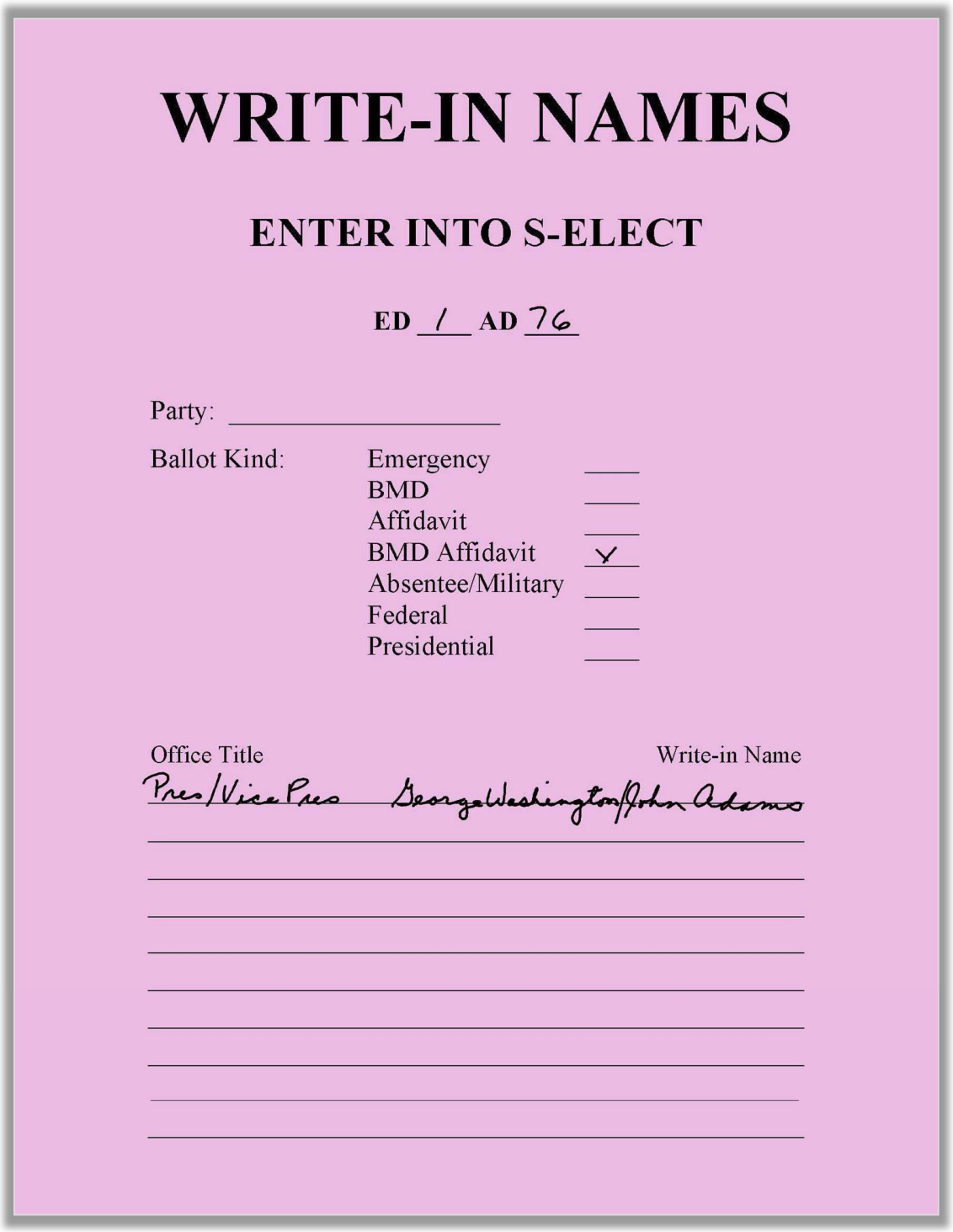


Figure 27. Sample BMD Ballot



WRITE-IN NAMES

ENTER INTO S-ELECT

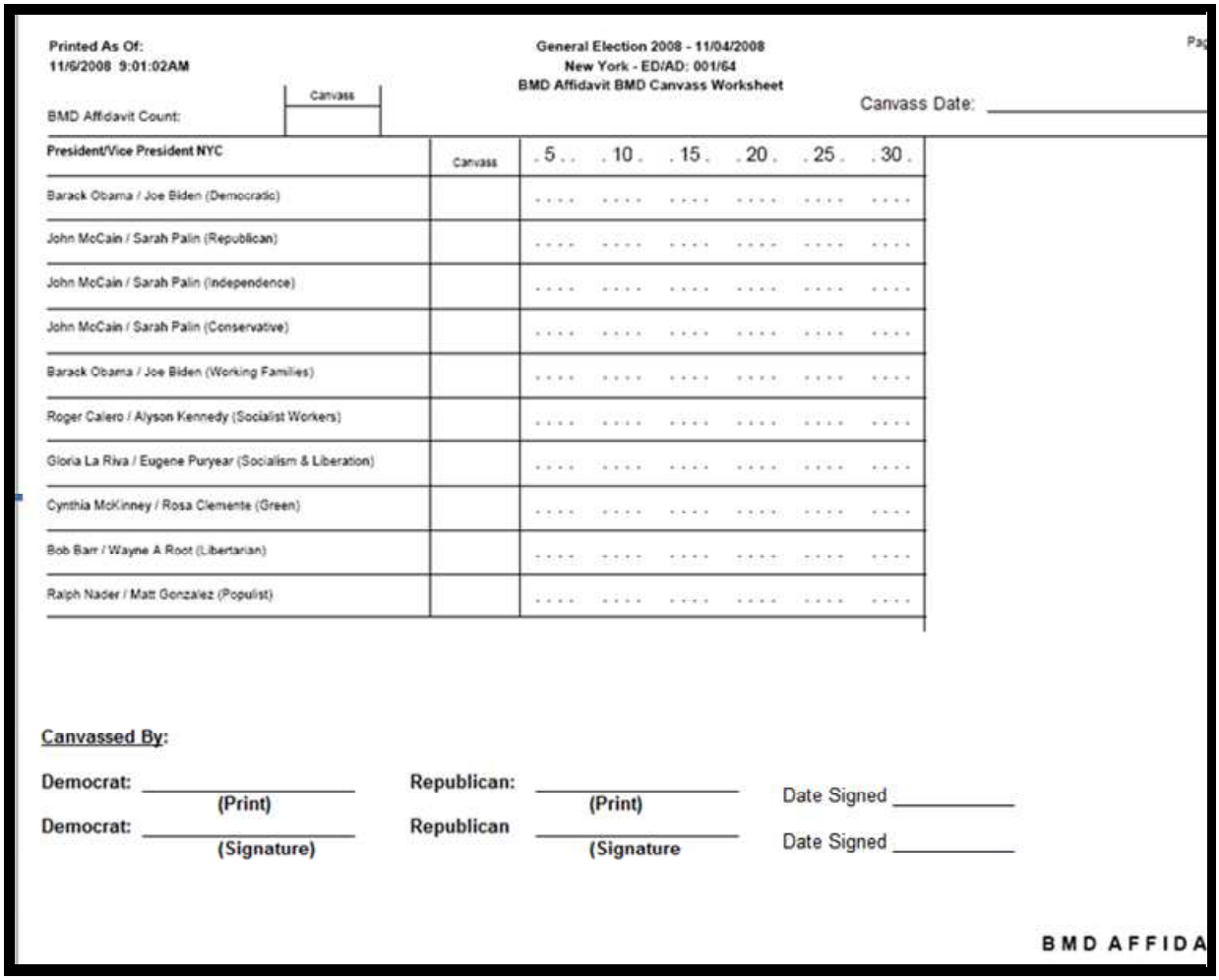
ED 1 **AD** 76

Party: _____

Ballot Kind:		
	Emergency	____
	BMD	____
	Affidavit	____
	BMD Affidavit	Y
	Absentee/Military	____
	Federal	____
	Presidential	____

Office Title	Write-in Name
Pres/Vice Pres	George Washington/John Adams

Figure 28. The Absentee Ballot Pink Write-in Form



Printed As Of:
11/6/2008 9:01:02AM

General Election 2008 - 11/04/2008
New York - ED/AD: 001/64
BMD Affidavit BMD Canvass Worksheet

Pag

BMD Affidavit Count: | Canvass |

Canvass Date: _____

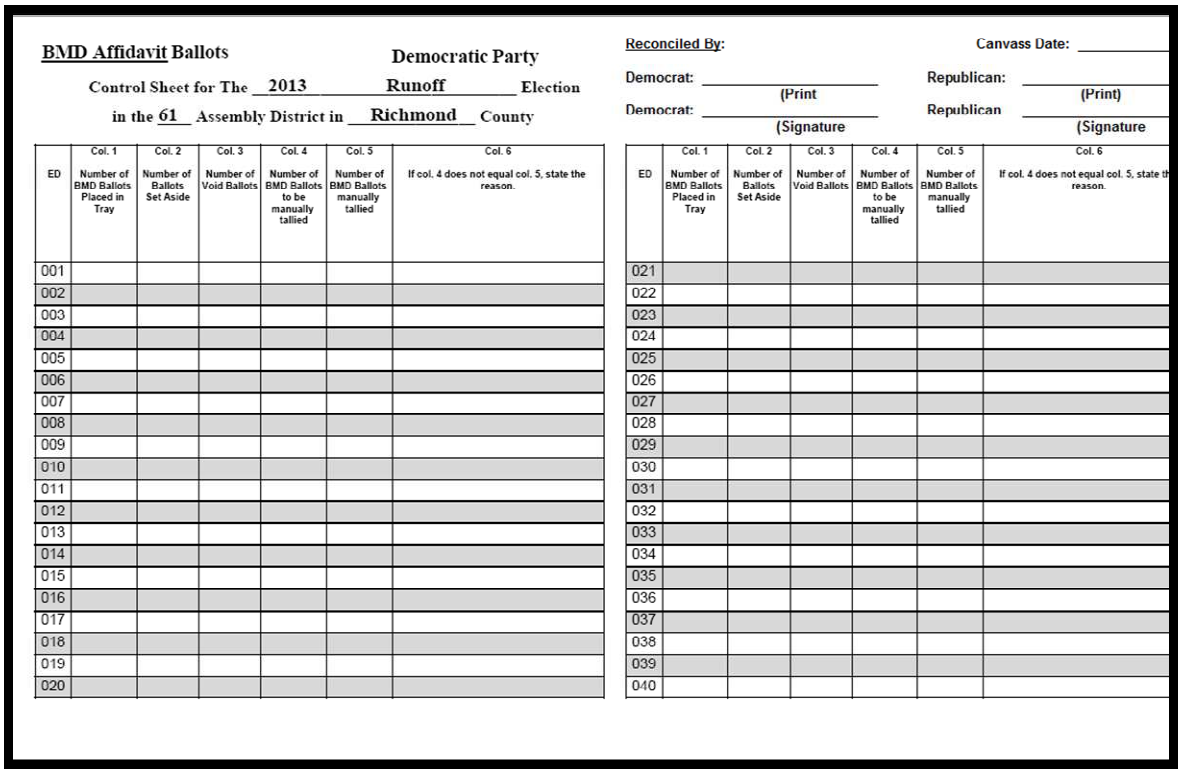
President/Vice President NYC	Canvass	5	10	15	20	25	30
Barack Obama / Joe Biden (Democratic)							
John McCain / Sarah Palin (Republican)							
John McCain / Sarah Palin (Independence)							
John McCain / Sarah Palin (Conservative)							
Barack Obama / Joe Biden (Working Families)							
Roger Calero / Alyson Kennedy (Socialist Workers)							
Gloria La Riva / Eugene Puryear (Socialism & Liberation)							
Cynthia McKinney / Rosa Clemente (Green)							
Bob Barr / Wayne A Root (Libertarian)							
Ralph Nader / Matt Gonzalez (Populist)							

Canvassed By:

Democrat: _____ (Print)
Democrat: _____ (Signature)
Republican: _____ (Print)
Republican _____ (Signature
Date Signed _____
Date Signed _____

BMD AFFIDA

Figure 29. BMD Affidavit Canvass Worksheet – Completed Sample



BMD Affidavit Ballots — **Democratic Party**

Control Sheet for The 2013 Runoff Election

in the 61 Assembly District in Richmond County

Reconciled By:

Democrat: _____ (Print)

Democrat: _____ (Signature)

Canvass Date: _____

Republican: _____ (Print)

Republican _____ (Signature)

ED	Col. 1 Number of BMD Ballots Placed in Tray	Col. 2 Number of Ballots Set Aside	Col. 3 Number of Void Ballots	Col. 4 Number of BMD Ballots to be manually tallied	Col. 5 Number of BMD Ballots manually tallied	Col. 6 If col. 4 does not equal col. 5, state the reason.
001						
002						
003						
004						
005						
006						
007						
008						
009						
010						
011						
012						
013						
014						
015						
016						
017						
018						
019						
020						

ED	Col. 1 Number of BMD Ballots Placed in Tray	Col. 2 Number of Ballots Set Aside	Col. 3 Number of Void Ballots	Col. 4 Number of BMD Ballots to be manually tallied	Col. 5 Number of BMD Ballots manually tallied	Col. 6 If col. 4 does not equal col. 5, state th reason.
021						
022						
023						
024						
025						
026						
027						
028						
029						
030						
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036						
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038						
039						
040						

Figure 30. BMD Affidavit Control Sheet – Completed Sample

17.0 RE-CANVASS OF EMERGENCY BALLOTS

17.1 Purpose

On Election Day, if any emergency situation should occur where no scanners are functional for voting purposes, voters will be directed by the poll workers to place their ballots into the emergency ballot bin located on the front of each scanner. If at any point during the day voters are again able to scan their ballots, the emergency ballot bin will be locked.

At the end of the night, the poll workers will attempt to scan any emergency ballots cast during the period of time when no scanners were available for normal use. If any of these ballots do not scan properly, (i.e. overvote, blank ballot, error, etc.) the poll workers will then manually canvass the emergency ballots as part of the Return of Canvass. They will also place the ballots that were not able to be scanned into the designated emergency ballot envelope and indicate on the outside of the envelope how many ballots are enclosed.

If any emergency ballots are used on Election Day, they must be re-canvassed after the election in the Borough Office using the steps provided in procedure documentation

As enumerated in NYS Election Law Section 9-209 (1):

> *b. At least five days prior to the time fixed for such meeting, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board's jurisdiction. Such notice shall state time and place fixed by the board for such canvass.*
>
> *c. Each such candidate, political party, and independent body shall be entitled to appoint such number of watchers to attend upon each central board of inspectors as such candidate, political party, or independent body was entitled to appoint at such election in any one election district for which such central board of inspectors is designated to act.*

The purpose of this procedure is to describe the manner in which to verify the correct number of Emergency ballots and the preparations required to tally them.

Re-Canvass of Emergency Ballots **Pre-requisites**

- Each ED will have its own Emergency Ballot Envelope
- All borough overnight documentation has been completed and borough has accounted for all Election Day materials
- Any time Emergency Ballot Envelopes are opened, the approved tracking method will be used to indicate who and when materials were opened
- Lead People must be notified immediately of all discrepancies found during the Re-Canvass of Emergency Ballots

17.2 Space and Physical Resources

The Re-Canvass of Emergency Ballots procedure will take place in a location designated by the Chief and Deputy of each borough. This location will provide tables and chairs with sufficient space for the bi-partisan team of Board staff to conduct the procedures as described below including space for the materials that need to be in the room while the re-canvass occurs.

See Section 14.2 for relevant Manual Canvass schematic to be used when re-canvassing Emergency ballots.

17.3 Responsible Personnel

Role	Responsibility
Senior Board Staff	▪ A team usually comprised of the Borough Chief and Deputy Chief responsible for access to the secured double-locked storage area for the ballots ▪ Issues are escalated to this team for approval or guidance, as needed ▪ Ensures staff are trained in the canvass procedure and allocates staff accordingly
Lead People	▪ Responsible for the oversight of the re-canvass process and the adherence to the re-canvass procedure
Tally Clerks	▪ Responsible for re-canvassing the ballots
Verification Clerks	▪ Responsible for auditing the canvass and resolving discrepancies, if any
Completion Clerks	▪ Responsible for compiling, organizing and preparing tallied ballots for data entry into S-Elect and storage in secured double-locked storage area

S-Elect Clerks	▪ Responsible for entering tally results into the S-Elect system
Runners (Optional)	▪ Responsible for moving the ballots from one location to another

17.4 Chain of Custody Tracking and Documentation

Any materials checked in to or out of the secured storage area must be documented on a tracking sheet as provided in Section 6.0.

17.5 Overall Process Flow

See Section 14.2 for relevant Manual Canvass of Paper Ballots process flow.

17.6 Emergency Ballot Verification

17.7 Bi-partisan Team of Board Staff

Step 1. Upon notice to all candidates to have watchers present, make sure that all Emergency Ballot Envelopes have been accounted for and are present, even if the front of the envelope says there are zero (0) ballots located inside. Review the completed overnight log sheets to ensure that the envelopes that were originally accounted for are all still present.

Step 2. For each ED returning Emergency Ballots, verify that an emergency situation occurred by reviewing the Election Day trouble log for scanner down time. Also check the poll list book for mention of any breakdown or emergency.

Step 3. Retrieve all Emergency Ballot Envelopes from the secured storage area regardless of the number of ballots found during the overnight process. Even if it is indicated that there are zero ballots, all envelopes should be opened to ensure no ballots are mistakenly left out of the tally.

Step 4. Before opening the Emergency Ballot Envelope, make sure to complete tracking procedures.

Step 5. Before counting emergency ballots from an envelope, first verify that all ballots are from the correct ED as listed on the outside of the envelope.

Step 6. If a ballot within an envelope is not from the correct ED, notify the Lead People immediately.

Step 7. Any ballots that are not from the correct ED/AD must be transferred to the appropriate ED/AD and update Overnight Tally Sheet.

Step 8. Keep track of the ballot and document the chain of custody using the appropriate tracking procedures

Step 9. If any ballots are transferred in or out, make sure to indicate on the Emergency Ballot Envelope the new total number of ballots as a result of the transfer and update Overnight Tally Sheet.

Step 10. When opening Emergency Ballot Envelopes, count the emergency ballots contained within the envelope and verify the total number matches what is listed on the envelope, taking into account any transfers that may have occurred in the previous step. For example, if the poll worker ballot count was 8 ballots, but one was transferred out, we should now expect 7 ballots. If the ballot count total from front of envelope does not match contents once they have been counted, follow the steps below:

Step 11. Notify the Lead People that the totals do not match and request that they retrieve the poll list book(s) for the ED in question.

Step 12. Check the poll list book for any voters that voted during an emergency situation. The poll list book will have an indication next to the voter's name that an emergency situation occurred when the voter was present.

Step 13. After reviewing the poll list book from the ED and getting a total quantity of emergency ballots that should be expected, compare this number again to the total number of emergency ballots that came back in the envelope.

Step 14. If the totals still do not match and there are more emergency ballots than what was expected from reviewing the poll list book(s), notify the Chief and Deputy that a determination must be made as to how to handle the discrepancy.

Step 15. If the totals still do not match and there are less emergency ballots than what was expected from reviewing the poll list book(s)

Step 16. Check all of the other Emergency envelopes from the same poll site to see if any ballots were placed in the wrong envelope.

Step 17. If there were no incorrectly filed emergency ballots found from all other EDs in that poll site, notify the Chief and Deputy that a determination must be made as to how to handle the discrepancy.

Step 18. Log the election district(s) where ballots were not canvassed originally on election night. Inform the inspectors in those EDs of proper procedure regarding emergency ballots for future elections.

Step 19. All emergency ballots (whether canvassed or uncanvassed on election night) are tallied by hand. The re-canvass is conducted on the date established by the Commissioners.

17.8 Prepare Emergency Ballots for Tally

Step 1. There are separate trays for each AD and the ballots are in ED order, separated by an ED separator sheet.

Step 2. When election districts are combined, tallies are reported only once for the combined election district, under the ED number used for the combination. Therefore the ballots from the combined districts are manually tallied together in one batch. To prepare the emergency ballots for this combined tallying, the ballots are kept together in the tray. Before placement in the tray, if any ballots were labeled for an ED that was not used because the ED was combined with another ED, the ballots are re-labeled for the ED into which the unused ED was combined. Staff counts the number of ballots in each ED/AD and records the number on the Paper Ballot Control Sheet for Emergency Ballots.

Step 3. The borough Lead People review the Control Sheets to be sure they are completed. They bring the trays sorted in ED/AD order, with the Control Sheets, to the appropriate area where the re-canvass of the emergency ballots is scheduled to take place.

Step 4. If ballots are present and tallying is necessary, manually count ballots using procedures in Section 14.0 Manual Canvass/Re-Canvass of Paper Ballots.

17.9 Troubleshooting Steps during Manual Count:

If it becomes necessary to manually tally any Emergency Ballots, the following exception procedures can be used to address some potential issues that may arise.

Step 1. Tally worksheet totals do not match between original tallying and verification team tallying

Step 2. One clerk from each team (Tally and Verification), re-tallies the ballots from the ED in question and if the totals match either of the first two tallies, that number is what is considered final. If the Tally and Verification teams cannot come up with the same total numbers after tallying the ballots, the following steps will be followed:

Step 3. Notify the Chief and Deputy immediately that a determination must be made as to how to handle the discrepancy.

Step 4. If the Chief and Deputy are not immediately available, it is up to the Lead People to decide where to store the ballots and tally sheets for the ED in question until they are available for a determination.

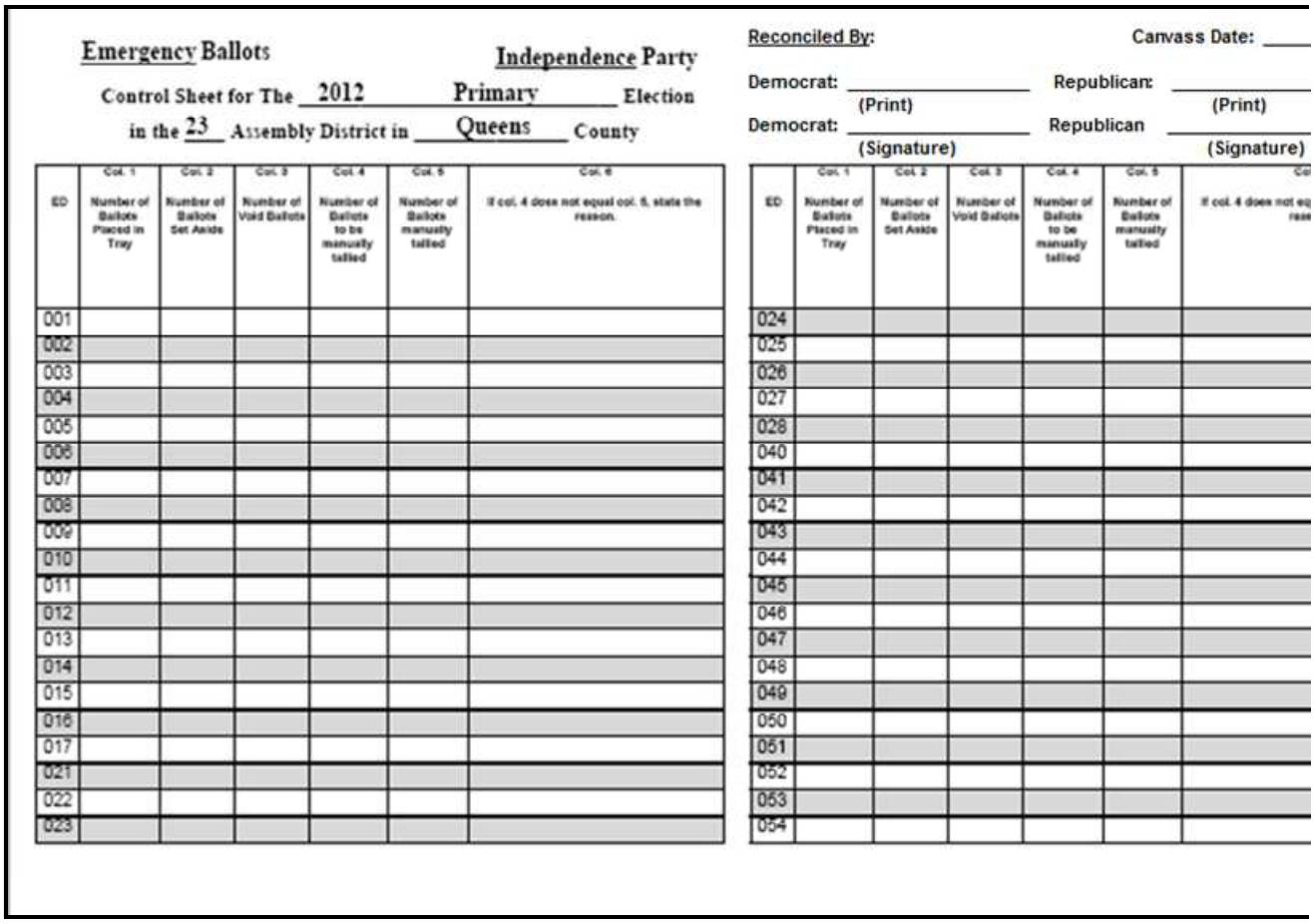
Step 5. Control sheet numbers do not match between steps (more or less ballots received than what the previous step said they passed off)

Step 6. At whatever point in the manual count process this occurs, the process for the ED in question stops immediately and the Lead People are notified.

Step 7. Lead People check with the team from the previous step to find out if there is a reason for any misplaced or extra ballots.

Step 8. If the missing/extra ballots are found, return them to the correct ED and continue following the manual count process.

Step 9. If the missing/extra ballots are not found, notify the Chief and Deputy that a determination must be made as to how to handle the discrepancy.



Emergency Ballots — Independence Party

Control Sheet for The 2012 Primary Election

in the 23 Assembly District in Queens County

Reconciled By: Canvass Date: ____

Democrat: _____ (Print) Republican: _____ (Print)

Democrat: _____ (Signature) Republican _____ (Signature)

ED	Col. 1 Number of Ballots Placed in Tray	Col. 2 Number of Ballots Set Aside	Col. 3 Number of Void Ballots	Col. 4 Number of Ballots to be manually tallied	Col. 5 Number of Ballots manually tallied	Col. 6 If col. 4 does not equal col. 5, state the reason.
001						
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023						

ED	Col. 1 Number of Ballots Placed in Tray	Col. 2 Number of Ballots Set Aside	Col. 3 Number of Void Ballots	Col. 4 Number of Ballots to be manually tallied	Col. 5 Number of Ballots manually tallied	Co If col. 4 does not eq reas
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Figure 31. The Emergency Ballot Control Sheet

18.0 RE-CANVASS OF MECHANICAL LEVER VOTING MACHINES

18.1 Purpose

After an Election where Mechanical Lever Machines are used, the Board conducts a re-canvass of these machines as prescribed by New York State Election Law, New York State Board of Elections Rules and Regulations, and the Board's duly adopted Procedures. The purpose of these procedures is to provide detailed guidance and instructions on how to lawfully conduct the Re-Canvass of Votes Cast on the Mechanical Lever Voting Machines. As mandated by the Commissioners of Elections in the City of New York, Board staff acting as the designated members of the bi-partisan committee appointed to conduct the re-canvass, will implement these procedures in an accurate and uniform manner in compliance with New York State Election Law and the duly adopted Procedures of the BOE in NYC. Bi-partisan teams of Board staff will implement the procedures detailed in this document in an accurate and uniform manner in New York, Bronx, Kings, Queens and Richmond counties

The purpose of this document is to provide detailed procedures for re-canvassing mechanical lever machines.

18.1.1 Candidates and/or their Representatives

The Board's Candidate Record's Unit notifies candidates in accordance with the provisions of §402(1) of the Board's Procedures required for the effective utilization of lever voting machines (adopted July 16, 2013) when re-canvass of the mechanical lever voting machines will be conducted. The re-canvass is scheduled for each borough for a time after each election, determined by the Commissioners of Elections, in which mechanical lever voting machines are used. One representative of each candidate whose name appears on the ballot is entitled to be present at the re-canvass for each re-canvass team the Board of Elections employs for such re-canvass. The Candidates or representatives have the right to inspect the mechanical lever voting machines during the re-canvass and to record the numbers shown thereon. A candidate or his or her representative that is present has the right and shall have the opportunity to observe the re-canvass and note any challenge, if they so choose, to the determination of the designated Board of Elections' committee conducting the re-canvass.

18.1.2 Roles and Responsibilities

Each of the mandated guidance and instructions has its own detailed list of roles and responsibilities according to what is required for that process, however in all cases bi-partisan teams of Board staff is allocated according to the following roles and areas of responsibility.

Role	Responsibility
Senior Board Staff	▪ A team usually comprised of the Borough Chief and Deputy Chief, or their designees, responsible for access to the Borough facilities ▪ Issues are escalated to this team for approval or guidance, as needed ▪ Ensures staff are trained in all of the Re-Canvass activity and allocates staff accordingly ▪ Responsible for the completion of the Re-Canvass activity documentation including tracking sheets and receipts
Lead People	▪ Responsible for the oversight and supervision of the Re-Canvass activity and the adherence to the relevant procedures, guidance and instructions ▪ Responsible for escalating any issues or concerns to the Senior Board staff as necessary
Borough Office Clerks	▪ Responsible for performing the specified tasks in the Re-Canvass activity
Support Staff (EVS, VEOU, MIS, OGC)	▪ Responsible for providing assistance and expertise in the Re-Canvass activity

18.2 Re-Canvass of the Candidate Votes

18.2.1 Detailed Instructions

Upon the import of the election results into S-ELECT, MIS contacts the Chiefs and Deputies and notifies them that the Re-canvass Worksheets are available for use. The Re-canvass Worksheets are printed and separated by Assembly District or Poll site. The Re-canvass Worksheets are assigned to a BOE designated re-canvass committee composed of a Democrat and a Republican, which are assigned by Assembly District or Poll site to conduct the re-canvass the mechanical lever machines at the Voting Machine Facility (VMF). Without unlocking the machine, the bi-partisan committee records the lever machine identification number, the inner protective seal number, the ED/AD of the voting machine, the numbers displayed on both the Public Counter and the Protective Counter and the number of votes for each candidate that is different from the votes shown on the Re-canvass Worksheets. A second bi-partisan team verifies the entries shown on the Re-canvass Worksheets. The completed Re-canvass Worksheets are distributed to a bi-partisan team of Board staff members to enter the revised data into S-ELECT.

After all entries are complete, an Edit Report is generated from S-ELECT by the bi-partisan Leads to review the results for discrepancies. If discrepancies exist, the bi-partisan Leads resolve the discrepancies and enter them into S-ELECT. After all discrepancies that can be resolved are entered into S-ELECT, the Leads reprint the Edit report and provide them to the Chiefs and Deputy Chiefs.

LEADS:

Obtain approval from Chiefs and/or Deputies Chief Clerks to commence the re-canvass process.

BI-PARTISAN RE-CANVASSERS COMMITTEE:

Step 1. Retrieve re-canvass worksheets from Leads: Obtain the Re-Canvass Worksheets.

Step 2. Open the doors of the lever voting machine: Starting with the lowest Election District of the Assembly District or poll site, remove the seal and open the doors of the lever voting machine.

Step 3. Read the voting machine information out loud: One member of the bi-partisan committee reads the following information out loud: ED/AD, the serial number of the voting machine Protective Counter number, Public Counter number, inner protective seal number, and then the votes for each candidate. The second member of the bi-partisan committee repeats the information. If the result is different on the Re-canvass Worksheets, he/she uses a Red pen or pencil to record the information in the appropriate space in the Re-canvass Worksheets. If the result is the same, do nothing. Candidates or their representatives that are present have the opportunity to observe the re-canvass and note any challenge, to the determinations of Board of Elections' committee regarding the re-canvass.

Step 4. When each election district is complete: Print and Sign your name (both Democrat and Republican) in the designated signature area on first page of the Re-canvass Worksheet and initial all subsequent pages, if any.

Step 5. Repeat the process: Repeat the process for every Election District in the Assembly District or poll site.

Step 6. Provide the results of the re-canvass to Leads: As each Assembly District or poll site is completed, provide the results of the Re-canvass to the Leads.

LEADS:

Provide the Results of the Re-Canvass to the bi-partisan Verification Team.

VERIFICATION TEAM:

Step 1. Retrieve Re-Canvass Worksheets from Leads: Obtain the Re-Canvass Worksheets.

Step 2. Open the doors of the lever voting machine: Starting with the lowest Election District of the Assembly District or poll site, open the doors of the voting machine, if necessary.

Step 3. Read the voting machine information out loud: One member of the bi-partisan team reads the following information out loud: the ED/AD, the serial number of the voting machine, the Protective Counter number, the Public Counter number. The inner protective seal number, and then the votes for each candidate. The second member of the bi-partisan team repeats the information. If the result is different on the Re-canvass Worksheets, he/she uses a Red pencil or pen to correct the information in the Verification column in the Re-canvass Worksheets.

Step 4. Notify the Lead People of any discrepancies and the Lead People will decide the next steps for resolving the discrepancies. If the result is the same, do nothing. Candidates or their representatives that are present have the opportunity to observe the verification of the re-canvass and note any challenge, to the determination the Board of Elections' Verification Team regarding the re-canvass.

Step 5. When each election district is complete: Print and Sign your name (both Democrat and Republican) in the designated signature area on first page of the Re-canvass Worksheet and initial any subsequent pages.

Step 6. Repeat the process: Repeat the process for every Election District in the Assembly District or poll site.

Step 7. Provide the re-canvass verification results to the Leads: As each Assembly District or poll site is completed, provide the re-canvass verification results to the Leads.

LEADS:

Provide Verification Team Results to S-ELECT Data Entry Clerks.

S-ELECT DATA ENTRY CLERKS:

Step 1. Receive Re-Canvass Worksheets from the Leads for your assigned Assembly District or Poll site.

Step 2. Enter all discrepancies in the Re-canvass Worksheets into S-ELECT. (See S-ELECT User's Manual for instructions).

Step 3. Return the Re-canvass Worksheets to the Leads.

LEADS:

Step 1. Print the Edit Reports from S-ELECT and review edits, if any. The Edit Report will display every instance for each election district where the number of votes exceeds the Public Counter figure or exceeds the number of enrolled voters for that Party. To reconcile the discrepancies shown, do the following:

Step 2. Retrieve the Re-canvass sheet for the ED/AD with the discrepancies. Compare the figures from S-ELECT to the Re-canvass Worksheet and reconcile the discrepancy, if necessary.

Step 3. If you cannot reconcile the discrepancy, go to the Mechanical Lever Machine. Ensure the Re-canvass Worksheet accurately reflects the numbers on the lever machine for the candidates and the Public Counter.

Step 4. If there is a discrepancy, make the corrections in the designated area on the Re-canvass Worksheet with a green pencil or pen.

Step 5. Enter the corrections into S-ELECT.

Step 6. If the worksheet is correct and there is an imbalance between the votes and the Public Counter, notify the Chiefs and Deputies immediately.

Step 7. After all corrections are made, re-run the Edit Report. If there are still discrepancies, repeat steps 1 through 6.

18.3 Re-canvass of the Write-Ins Votes

18.3.1 Detailed Instructions

During the Re-Canvass of Write-In votes, a VMT, who is a member of bi-partisan team, opens the back of the mechanical lever machine where the Write-In roll is located. The VMT then cuts the paper roll to separate the Write-In section from the rest of the paper roll, and seals the Write-In portion of the paper roll in an envelope with the ED/AD of the voting machine and the initials of the bi-partisan teams that removed the paper roll from the voting machine. The Write-In envelopes are then delivered to the Leads of the Re-Canvass of Write-Ins on Mechanical Lever Machines Process.

LEADS:

Step 1. Retrieve the supporting document that shows the Write-In sheet Row Numbers for the specific offices/positions on that voting machine's ED/AD from VEOU.

Step 2. Provide the Write-In envelopes, supporting row number document and Write-in Pink Sheets to a bi-partisan team.

BI-PARTISAN TEAM:

Step 1. Retrieve Write-In envelope, the supporting row number document and Write-in Pink Sheets from the Leads for your assigned Assembly District or poll site.

Step 2. Working with only one envelope at a time, open the Write-In envelope and unfold the Write-In Sheet.

Step 3. For each Write-In, check the row number on the Write-In Sheet and record the ED/AD, the office title, and the candidate's name on the Pink Write-In Sheet exactly as it is written. Candidates or their representatives have the right to be present and have the opportunity to observe the re-canvass and may challenge the determination of the Board of Elections' staff as to the recording of Write-In votes by the bi-partisan team. If there is an objection, Board of Elections staff notifies the Leads for a determination of the objection.

Step 4. Continue this process for every Write-In on that same row/office.

Step 5. Starting with the next row/office in the supporting document, repeat steps 2 through 4 for each row/office.

Step 6. When all the Write-Ins are completed for that ED, fold the Write-In sheet and place it back into the Write-in envelope. On the outside of the Write-In envelope, the bi-partisan team print their names, signs and dates the Write-In envelope.

Step 7. Return the signed and dated Write-in envelope and the Pink Write-in sheets to the Leads.

LEADS:

Distribute the completed Pink Write-in sheets to S-ELECT data entry clerks.

S-ELECT DATA ENTRY CLERKS:

Step 1. Retrieve pink Write-In Sheets from the Leads for your assigned Assembly District or poll site.

Step 2. Working one pink Write-In sheet at a time, enter Write-In name into S-ELECT using the Write-In Normalization Table in section 19.0. (See S-ELECT User Manual for entry instructions).

Step 3. Repeat for all pink sheets.

Step 4. When all pink sheets are entered, return pink sheets to the Leads.

LEADS:

Step 1. Randomly select several pink sheets to be verified that they were entered correctly into S-ELECT.

Step 2. Working one randomly selected pink sheet at a time, verify it was correctly entered into S-ELECT.

Step 3. Print your name and sign the bottom of each pink sheet you verify.

Step 4. If you discover a discrepancy, correct it in S-ELECT. (See S-ELECT User Manual for entry instructions).

Step 5. Repeat steps 2-4 for each randomly selected pink sheet.

Step 6. If discrepancies are discovered in the first verification, randomly select several more pink sheets to verify.

Step 7. Produce Write-In Report from S-ELECT.

Step 8. Check the Write-In entries for normalization and/or other irregularities.

Step 9. Make corrections In S-ELECT, as necessary.

18.4 Archival of Re-canvass Materials

After the election is certified, all documentation related to the re-canvass (re-canvass worksheets, pink Write-In sheets, Write-In envelopes, etc.) are archived for a period of no less than twenty-four months.

WRITE-IN NAMES

Mechanical Lever Machines

ENTER INTO S-ELECT

ED ____ AD ____

Party _____

Office Title	Write-in Name

19.0 ENTERING WRITE-IN NAMES INTO S-ELECT

19.1 Purpose

When voters choose to write in a name as their selection for a contest on a paper ballot or mechanical lever voting machine, Board S-Elect clerks enter the names into the S-Elect system where they are tallied. As with all other steps of the canvass, a Republican and a Democrat work together to perform this task. See Section 10.0 Record Write-in Names from Poll site Ballots.

19.2 Responsible Personnel

Role	Responsibility
Senior Board Staff	▪ A team usually comprised of the Borough Chief and Deputy Chief responsible for access to the secured double-locked storage area for the ballots ▪ Issues are escalated to this team for approval or guidance, as needed ▪ Ensures staff are trained in the canvass procedure and allocates staff accordingly
Lead People	▪ Responsible for the oversight of the re-canvass process and the adherence to the re-canvass procedure
S-Elect Clerks	▪ Responsible for entering tally results into the S-Elect system

19.3 Chain of Custody Tracking and Documentation

Any materials checked in to or out of the secured storage area must be documented on a tracking sheet as provided in Section 6.0 Tracking Procedures for Canvass Election Materials.

Description of Write-In	Established Rules/Action Taken
Regarding the spelling of the name, if it can be reasonably ascertained for whom the voter intended to vote	Enter the name into S-Elect so that its spelling matches the spelling of other instances of the same name.
The voted write-in candidate name exactly matches a candidate name already listed on the ballot for the same contest.	Enter “un-attributable write-in” in S-Elect.
The voted write-in candidate name closely resembles a candidate name already listed on the ballot for the same contest, but does not exactly match.	Determine whether or not the write-in name is for the candidate listed on the ballot or is not the candidate listed on the ballot. If the write-in name is the candidate listed on the ballot, enter “un-attributable write-in” in S-Elect. If the write-in name is <u>not</u> the candidate listed on the ballot, enter the name into S-Elect exactly as it is written on the pink Write-in form.
The words “No Name” appear on the pink Write-in form.	Enter “un-attributable write-in” in S-Elect.
Voter writes in the candidate’s last name alone	Enter “No First Name Given” in S-Elect.
Voter writes in the candidate’s first name alone	Enter “No Last Name Given” in S-Elect.
The words “No English Name” appear on the pink Write-in form.	Enter “Non English Name” in S-Elect.
In a vote for more than one contest the voter writes in the same person more than once.	Enter into S-Elect the name in once and then enter “un-attributable write-in” for each other occurrence of the same name.

If the pink Write-In form is accompanied by a ballot that is a federal/military write-in ballot from an overseas voter not on the Board's standard ballot form, enter the names into S-Elect using the following rules:

Description of Write-in	Established Rules/Action Taken
The voter designated a candidate by writing in the name of the candidate on the ballot.	Enter the vote into S-Elect for the candidate in the left-most party on the ballot in which the candidate's name appears.
The voter designated a candidate by writing in the name of a political party or an abbreviation of a political party.	Enter the vote into S-Elect for the candidate of that political party.
The voter writes in only the last name of a candidate whose name appears on the ballot.	Enter the vote into S-Elect for the candidate in the left-most party on the ballot in which the candidate's name appears.
The voter writes in the name of only a candidate for President or only a candidate for Vice President whose name appears on the ballot.	The vote is counted for the electors for that candidate. Enter the vote into S-Elect for the candidate in the left-most party on the ballot in which the candidate's name appears.
The voter writes in the name of a President and Vice President from different political parties.	Enter the vote into S-Elect exactly as written on the pink Write-In form.

Appendix A - Definition Of Terms

Term	Definition
Cross Endorsement	A candidate runs for more than one political party in the same contest.
CRU	Candidates Records Unit
EVS	Electronic Voting Systems Department
VEOU	Voting Equipment Operations Unit
Write-In	A stamped, printed or a manually written candidate name.
Expected Number of Valid Votes	The maximum number of votes allowed for a contest, based on the specific voter instructions for a contest.
Vote for	The maximum number of votes allowed for a contest, based on the specific voter instructions for a contest.
PVS	Poll Site Voting System
Bi-partisan	Representation of the two major political parties
Party Position	Political position obtained by running for office
Scanner Voting Records (SVR) Bag	Large Yellow Bag containing pouches with PMDs after an election.
Pouch	Small yellow bags containing PMDs, a zero tape and a results tape after an election.
ENR	Election Night Results
Election Night PMD Results (ENR) Form	A multi-part form used to record election related data.
Secured Storage	Area of Board facility secured with two locks. The key(s) for one lock is held by Democratic Board staff member(s), and the key(s) for the other lock is held by a Republican Board staff member(s).
Central Election Management System	The Board's computerized central repository that holds all election data. This system is S-Elect or its successor system.
S-Elect	The Board's central election management system.
SFTP (Secure File Transfer Protocol)	A network protocol that provides file access, file transfer, and file management functionalities over any reliable data stream. It was designed by the Internet Engineering Task Force (IETF) as an extension of the Secure Shell protocol (SSH) version 2.0 to provide secure file transfer capability, but is also intended to be usable with other protocols.

Appendix B

New York State Board of Elections Audit Procedure for Compliance with 6210.18

Audit Procedure for Compliance with 6210.18

For

New York State
Board of Elections

40 Steuben Street Albany, NY 12207
April 13, 2010
Version 12.0

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REVISION HISTORY

Date	Version	Description	Author
12/21/06	Version 1	Random Selection Process for Voting Machine Audits Option 1 Cluster	SBOE
12/22/06	Version 2	Using Dice for the Random Selection Process of Voting Machine Audits	SBOE
1/17/07	Version 3	Random Selection Process for Voting Machine Audits Option 1 Cluster	SBOE
1/24/07	Version 4	Using Dice for the Random Selection Process of Voting Machine Audits	SBOE
2/23/07	Version 5	The Random Selection of Voting Machines for Post Election Auditing	SBOE
6/12/09	Version 6	Audit Procedure for 6210 18 draft	NYSTEC
6/22/09	Version 7	Audit Procedure for 6210 18 ver. 7	NYSTEC/SBOE
6/22/09	Version 8	Audit Procedure for 6210 18 ver. 8	SBOE
7/17/09	Version 9	Corrected error in description of dice	NYSTEC
8/13/09	Version 10	Updated narrative Updated Appendix 3 - Inventory Assignment Spreadsheet Updated Appendix 4 - Drawing by Lot Spreadsheet Updated Appendix 5 - Audit Team Oath Updated Appendix 6 - Individual Audit Tally Worksheet Updated Appendix 7 - Reconciliation Audit Tally Report Worksheet Updated Appendix 8 - Ballot Counting Table Layout from NH (formerly Appendix 5)	SBOE
1/4/10	Version 11	Updated to reflect input from the Association‟s Pilot Review Committee	SBOE
4/13/10	Version 12	Final Review with the Association‟s Pilot Review Committee	SBOE

1. BACKGROUND

1.1. Purpose and contents of this document

The purpose of this document is to provide guidance on preparing for and performing the audit required by the New York State Election Law Section 9-211 and by new proposed regulations in Part 6210.18. Section 2 of this document includes recommendations provided as a result of an analysis of multiple "best practices" and policies and procedures from a number of other states, independent industry experts and Federal guidelines.

In addition to "best practices" recommendations, Section 3 contains State Board of Elections (SBOE) recommended methods for organizing your voting machine inventory prior to selecting systems for an audit. Section 4 contains three SBOE-approved methods for the random selection of voting systems for an audit.

Finally in Section 5, we provide a step by step guide from start to finish, for accomplishing an audit.

1.2. New York State Section 9-211 Audit of voter verifiable audit records.

Section 9-211 of New York State Election Law also contains audit requirements. The text of Section 9-211 is included in Appendix 2 of this document.

1.3. New York State Election Regulations on Post - Election Audits

Section 6210.18 of the proposed NYCRR would establish uniform statewide procedures by which manual hand count audits must be performed of a subset of ballots from each election. The county boards of elections retain the authority to order manual counts of a greater number of records in whole or in part under such other and additional circumstances as they deem warranted. The text of Section 6210.18 is included in Appendix 1 of this document.

1.4. Purpose of the Audit

It is important to understand the purpose of the New York State post election audit. According to *Best Practices and Principles for Post Election Audits* (http://www.electionaudits.org/principles), a post election audit routinely checks voting system performance in contests, regardless of how close margins of victory appear to be. The post election audit is designed to assess how the electronic voting system performed on Election Day using the actual votes cast by voters. ***This verifies the accuracy of the voting system and should not be confused with a re-canvass which is meant to verify the election results.*** New York State has specific statutory provisions for the canvass and re-canvass of election results.

Post election auditing helps verify that the complex voting systems, including central- count systems, in use today are accurately encoding and tallying ballots and that the

winners of each election contest are called correctly. However, effective post election auditing can also serve as a tool for:

- Detecting voting system problems that may require further investigation;
- Revealing when escalation of recounts are necessary to verify election outcomes
- Finding common errors voters make in marking ballots that might be avoided in future elections with voter education;
- Identifying human errors in the tally process that can be remedied by new procedures in future elections;
- Deterring fraud;
- Providing statistical data to improve future elections or audits;
- Providing for continuous improvements in the conduct of elections; and
- Promoting public confidence in elections.

2. BEST PRACTICES FOR PREPARING FOR AN AUDIT

Detailed steps for preparing for the selection of which voting systems will be included in an audit are detailed in section 3. Examples of methods for actually conducting a random selection of voting systems that will be included in an audit are explained in section 4. This section provides recommendations for topics that will need to be discussed and planned, to prepare for and organize an audit.

2.1. Preliminary Organizational Work

Audit Documents

- Prepare all possible audit tally sheets for each voting system that may be subject to an audit and for each election district and, in the case of a primary election, for each political party with a contest to be decided at each election.

Staffing

- Seek a balanced mix:
  - o Managers
  - o Numbers of auditing personnel
  - o Number of auditing teams

- A Poll worker participating in the manual tally should not be assigned to tally the results from a precinct in which that individual served as a Poll worker on Election Day.

- It is recommended that an Oath of Office be required for all Audit Inspectors and any other audit team members. Here is a sample Audit Inspector oath which can be used for this purpose:

OATH OF OFFICE (See Appendix 6)
Swear in Audit Inspector officials as election officials

"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am
able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

How to prepare ballots for auditing

In reviewing how other states organize their ballots for the audit process we have identified the „read and mark" method as the best method to use when conducting the
NYS post election audit. This method is explained below:

READ AND MARK METHOD

In the read and mark method, the Bi-partisan team of Audit Inspectors sort the ballots secured from the voting system ballot box or other secure container into that machines election districts, and ballot style piles. An Audit Inspector reads aloud the selections made on each ballot from that machine's election district for each contest and/or ballot proposal. Observers must listen to different names read aloud. An audit team member of the opposite political party than the reader will observe the votes as read aloud to ensure that they have accurately been announced.

As the votes are read aloud, an individual of the opposite political party than the reader will mark the vote on a tally sheet. An individual of the opposite political party than the marker will observe the marks posted to the tally sheet to ensure that they have accurately been marked.

Tallying ballot marks during the audit count shall be completed nearly as practical to the provisions contained in NYS Election Law Section 9-116. See Appendix 3.

CHOOSING NUMBER OF AUDIT INSPECTOR TEAMS

- The more observers and sets of eyes on a single ballot, the greater the certainty of the results.
- Evaluate the audit work to be completed and assign a number of audit teams

and audit team supervisors to the task, taking into consideration:
- o Total number of voting systems that may be subject to audit;
- o Total number of different ballot styles;
- o Total number of contests for offices, party positions or ballot proposals at the election; and
- o Potential total number of ballots to be audited.

RULE OF THUMB FOR AUDIT TEAMS

- Aim for at least 2-3 sets of eyes on each ballot to be audited, as well as the recording of each vote.
- Use a 4-person Bi-partisan team or teams.
- At least two Bi-partisan team members check the ballot marks and at least two other Bi-partisan team members mark the vote on the tally sheet and verify the accuracy of those entries.
- All 4 members of the audit team verify and record and check the sums on the audit tally sheets.

ORGANIZING FOR THE COUNT

Organize the Audit Site

It is critical that the decorum of the audit site is conducive to the important work to be conducted in it. An organized and orderly work space, and as quiet an atmosphere as possible will help ensure the audit teams have an appropriate environment in which they can concentrate and accurately log their findings. Observers will be better able to hear the incremental decisions of the audit teams, and the outcome of the audit. Consider
the following as you organize your audit site:

- Tables should be placed at distances from each other sufficient to allow for an adequate path of travel for audit team members and supervisors.
- Sufficient and comfortable seating should be provided.
- Audit team members and supervisors should wear name tags.
- Observers should sign in, and identify whom they represent. Consider identifying observers with a „Guest Pass" sticker, so that security can be maintained in a crowded and/or active audit site.
- Observers should be able to hear and see the activity of the audit team, but shall not be so close to the team as to hover over them or distract them.
- Be sure adequate rest breaks are taken, to keep the audit team fresh. When breaks are taken, assign a bi-partisan team to guard the ballots and audit team documents until the audit team returns.

Custom audit supplies:

- Audit tally sheets: documents that have been prepared with specific audit-related information such as machine serial number, audit number drawn, poll

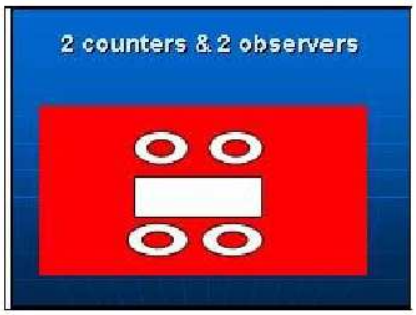
site in which the unit was used, election districts (and in primary elections, political parties) served by the voting system, etc. A sample of an audit tally sheet can be found in the Appendix.

- Additional seals for securing containers into which audited ballots will be placed.
- A copy of the audit procedures and any additional guidance materials provided by the county board of elections.
- A copy of the audit notice sent to candidates.

General supplies needed for use in the audit:

- Binder clips, rubber bands or other reliable binding items, for securing manageable packets of ballots to be audited.
- Office supplies such as red pens, red pencils, highlighters, post-it note pads
- Two containers (boxes, bins, etc) of an appropriate size, into which packets of audited and unaudited ballots can be placed, to keep them secure and separate.

Arrange the audit counting site for counting



Sample Room layout for counting

2.2. Ballot Handling Recommendations

- Throughout the audit, ballots may **only** be handled by CBOE commissioners of elections or their sworn designated representatives. No observer or member of the public may handle a ballot, nor any official audit or election- related document.
- The ballot chain of custody forms for the ballots cast from all of the randomly selected voting systems must be inspected to ensure proper completion. If the audit team determines that any of the ballot accounting and reconciliation chain of custody forms were not properly completed, or that election officials failed to complete the ballot accounting and reconciliation chain of custody forms, the voting system may not be audited, and a replacement machine

must be selected. The first extra voting system selected during the random selection process should be used.
  - When such voting system is deferred, it shall be assigned to the re-canvass team or other designated Bi-partisan team for resolution.
- Ballot Marks
  - Valid votes that have been marked by the voter outside the vote targets or using a marking device that cannot be read by the vote tally system shall not be included in making the determination whether the voting system has met the standard of acceptable performance.
    - See 9-211.4 and Part 6210.18 (j)
- Election Officials in Charge of the Audit
  - Duties of responsible Election Official. The election commissioners or their designated representatives in charge of elections where an audit is to be completed pursuant to statute or regulation must:
    1. Be present or personally represented throughout the audit proceedings;
    2. Be responsible for acquiring sufficient facilities and personnel to ensure timely and lawful auditing of voting systems and their corresponding ballots;
    3. Be responsible for the proper training of all personnel participating in audit proceedings and administer oaths to all audit team members who are not already duly appointed election inspectors;
    4. Maintain actual control over all proceedings and be responsible for the lawful execution of all proceedings in the audit counting site;
    5. Be responsible for assuring the lawful retention and storage of ballots audit records and other pertinent documents; and
    6. Arrange for observation of the audit by providing written notice (Pursuant to NYS Election Law Section 9-211.1 and proposed regulation Part 6210.18(b)), including a copy of audit procedures with the notice to each candidate, political party or independent body entitled to appoint watchers. Such notice shall also include:
       a. the date, time and location that the audit shall commence;
       b. information on the number of audit teams which will conduct such audit; and
       c. such other information that the County Board deems necessary.

2.3. Security in Audit Counting Sites

Proceedings at the audit counting site may be open to the public. They are under the direction of the election commissioners or their designated personnel in county boards of elections where an audit is to be completed. Only persons employed and authorized by the CBOE commissioners for the purpose of conducting an audit may touch any ballot card, ballot container, or statement of canvass or other official document.

2.4. Standards of acceptable performance by voting system

A comparison of the aggregated results compiled by the voting system with the post- election review must show that the results of the voting system are consistent with the provisions of Part 6210.18 (e) (1) and, if not, whether further auditing is required. Only votes that have been marked by the voter inside the vote targets or using a manual marking device that can be read by the voting system shall be included in making the determination whether the voting system has met the standard of acceptable performance for any voting system.

2.5. Questionable Votes and Marginal Marks

Voting systems scanners are specifically calibrated to recognize marks made by voters in sensitive marking areas of the ballot. Scanners will easily recognize votes that are marked with a density that is within the calibrated thresholds. In an audit, the human eye may perceive these marks differently that the scanner, however the audit team members and observers alike should understand that the scanners, in accordance with Section 7-201.1e provide each voter with a notification of any mark the system perceives as questionable and provides each voter with the opportunity to remark their ballot or cast it 'as-is'.

The Brennan Center provides additional information on how to address this issue. See a corresponding selection from the Brennan Center Report on Post Election Audits, in Appendix 11.

3. HOW TO ORGANIZE YOUR VOTING SYSTEMS INVENTORY PRIOR TO SELECTING MACHINES FOR THE AUDIT

Organize inventory

To conduct a drawing by lot, to determine which units shall be audited, several documents must be prepared in advance of the drawing. For illustrative purposes, we will assume an inventory of 50 voting systems or when auditing a central count system, 100 election districts. Samples of the two documents described below are provided in the Appendix. The first document to be prepared is a Drawing by Lot Spreadsheet, used to track the results of your random drawing:

- On a document or spreadsheet with two columns on it, number the first column sequentially, from 1 through 50, which will represent each chip drawn, in order.
- In the second column, post the number drawn from the chip container. For example, on the first draw, chip number 33 is pulled. Enter the number 33 in the second column, next to number 1. On the second draw, number 15 is
- drawn; proceed to enter the number 15 in the second column next to number 2, and so on, until each chip is drawn for every machine in the inventory.

- For central-count systems, number the total Election Districts in the county in sequential, numeric order: i.e. 100 Election Districts
  - o In order to do a 3% audit on all of the county‟s election districts, one must multiply the total number of election districts by 3%
    - 100 X 3% = 3 election districts to be audited throughout the county
    - To determine which election districts to audit, one must follow steps 1 and 2 and apply those steps to election districts instead of machines.
- Upon completion of the random drawing selection, the CBOE Commissioners or their designees shall sign and date the Drawing by Lot spreadsheet.

The second document to be prepared for use in the drawing by lot is an Inventory Assignment Spreadsheet. Once completed, this document will identify which specific voting systems will be audited, based upon the random drawing.

- On a document or spreadsheet with five (5) columns on it, number the first column sequentially, from 1 through 50.
- In the second column, next to each sequential number, post each voting system‟s serial number.
- In the third column, list the poll site in which the unit shall be used.
- In the fourth column, list the election districts which will be served by the voting system, and in a primary election, the political party(ies) that constitute those ballots styles. This is especially important if the unit is to be used in a poll site serving more than a single election district.
- Using the Drawing by Lot spreadsheet, post the number drawn first in the fifth column, next to the corresponding inventory number. For example, from the Drawing by Lot spreadsheet described above, the first number drawn was 33. Locate number 33 on your Inventory Assignment Spreadsheet, and post the number 1 in the fifth column. The second number drawn was 15. Locate number 15 on the Inventory Assignment Spreadsheet, and post the number 2 in the fifth column, and so on, until each number drawn in order is posted next to a corresponding voting system serial number.
- Upon completion of the transfer of the drawing selection order from the Drawing by Lot Spreadsheet to the Inventory Assignment Spreadsheet, the CBOE Commissioners or their designees shall sign and date the Inventory Assignment Spreadsheet.

Both documents shall be time stamped, copied, as necessary, and the original of each document is to be secured with other audit documents for archival storage.

4. PREPARING FOR THE AUDIT DRAWING BY LOT

Decide on the method you will use to conduct your Audit Drawing by Lot. Practice using that method or tool, to be sure you can conduct the drawing with confidence.

Familiarize yourself with the official documents to be completed, so that the drawing will be efficient and accurate.

Be sure that your Inventory Assignment and Drawing by Lot spreadsheets are populated with serial numbers and are ready to use in the drawing you are about to conduct (see instructions in Section 3: How to Organize Your Voting Systems Inventory Prior to Selecting Machines for the Audit, and the forms in Appendix 4 and 5).

After notices of the Audit Drawing by Lot have been sent to candidates, and before the audit is conducted, review your process and the tools you intend to use to conduct the audit, to be sure you have the supplies you need and the mechanism you intend to use for the drawing is in proper working order. For example:

- If you intend to use an on-line, random number generator, access the site you intend to select and practice generating numbers that will become the basis of your audit selection process.
- If you intend to use chips of some sort, sequentially number them with an indelible marker, equal to the number of voting systems in your inventory.
- If you intend to use your bingo machine (as used for your ballot drawing purposes), be sure all of the numbered spheres are accounted for, and that the spinning device works properly.

Demonstrating the Drawing Method

Immediately before the Audit Drawing by Lot, arrange for observers to see that the pieces, parts or other components of the method you intend to use, are intact:

- If you intend to use numbered chips of some sort, display the chips in order, so that observers can see that every sequentially-numbered chip is accounted for.
- If you intend to use the bingo machine, display all of the numbered spheres in order, so that observers can see that every sequentially-numbered sphere is accounted for.
- If you intend to use an on-line, random number generator, be sure you access the site on a computer that the observers can see, to ensure transparency in the on-line process.

5. METHODS FOR RANDOM SELECTION FOR AN AUDIT

5.1. Proposed Option One: Individually Numbered Chips

Obtain a sufficient quantity of individually number chips (i.e. bingo balls, Popsicle sticks, poker chips, etc.). Make sure that they have every number in sequence and that no number is duplicated.

Step # 1. At the start of the random selection process, the number of chips shall equal the total number of voting systems to be utilized in the election which may be subject to audit.

Number all the machines that will be part of the audit with a number from 1 to XX, where XX is the last machine that will be part of the audit. Or, when auditing a central count voting system, number the election districts from lowest to highest number. Identify chips with numbers from 1 to XX (with XX representing the highest number of voting systems). Secure a box or other appropriate container with which to conduct the drawing. The container should be smooth and free from flaps that may trap a chip or chips, and thus impede the random selection.

At the beginning of the random drawing selection, allow an opportunity for all of the audit observers to see that the box or container is empty and that you have the requisite number of chips equal in number to the total number of voting systems utilized in the election.

Place the required number of numbered chips into the drawing container and obtain the Drawings by Lot Spreadsheet to track the results of your random drawing. Select chips one at a time from the drawing container and read aloud the number. A drawing clerk of a different political faith than the drawing clerk shall then record the number on the Drawing by Lot Spreadsheet, also reading aloud the number as it is being recorded. Continue in this manner until all of the chips have been selected.

5.2. Proposed Option Two: Electronic Random Number Generator

There are a number of random number generators available on the internet. One that is popular is Random.org which can be found at this URL address: http://www.random.org/

Number all the machines that will be part of the audit with a number from 1 to XX, ~~where XX is the last mach~~ine that will be part of the audit. Use the True Random Number Generator to select numbers.

6. AUDIT PROCESS CHECKLIST

This checklist is modeled on a sample prepared by the New Hampshire Department of State Election Procedure Manual and has been altered to reflect NY requirements.

Step #1 - Arrange the audit site for counting. The counting area should be segregated from the observer gallery. All counting, however, must occur where it is visible to all legally present observers.

Step #2 - Identify all those who will be serving as audit team inspectors, audit team supervisors or any other audit team members.

Step #3 - Administer oaths and obtain signatures on the oath documents for all audit team members. Retain completed and signed oath documents with other audit materials for archive storage.

Step #4 - Review audit instructions with all audit team members and any observers present.

Step #5 - At the beginning of the audit, the Bi-partisan team of Audit Inspectors shall compare and verify the ballot box seal number noted on the chain of custody report with the seal on the ballot box they are to audit. Record this seal number on the Audit Tally Worksheet.

5 a) If the seal numbers match, break the seal and continue to Step 6.

5 b) If the seal numbers do not match, note the problem under "AUDIT TEAM REMARKS" and summon a supervisor, who will then take custody of all audit materials. The Audit Team Inspectors will move on to the next available machine to be audited, and resume the process at Step 5.

Step #6 - Open the ballot box(es) in view of the observers, remove all ballots from the container and place the ballots onto the audit table.

Step #7 - Reveal the empty ballot box.

Step #8 - Sort the ballots by election district and, in a primary election, by political party.

Step #9 - Have the audit inspector teams count the ballots, and if necessary for manageability, further sort the ballots into piles of a known size (10, 25, 50 or 100 ballots).

Step #10 - Wrap each pile with a rubber band, clip it with a large binder clip, or other similar fastener.

Step #11 - Locate each audit inspector team"s prepared audit tally sheets. The sheet(s) should be organized in the same order as the ballot, with sections for each office and question and the name of each candidate listed in the same order as they are listed on the ballot. There should be a space following each name/question for one of the counters to put a hash mark for each vote for that candidate/question.

Step #12 - The counting process:

12 a) Each audit team will count all races and questions in one bound pile of ballots at a time. Note: for the following overview we will assume that 50 ballots are contained in each bound pile of ballots.

12 b) A mark must be made on the tally sheet for each vote cast on each ballot. Make a vertical line (hash mark) for the first four votes for any given candidate and then cross a horizontal line over the vertical lines for the fifth vote for that candidate. If the voter wrote in a candidate, that vote shall be represented by a hash mark in the field designated on the audit tally sheet for write-in votes for that contest.

12 c) If the voter skipped a race or question, that is they did not vote for any candidate or did not make the total number of selections for the contest, or did not mark either yes or no on a ballot proposal, put a hash mark in the "BLANK" line for that office or proposal on the audit tally sheet.

12 d) If the voter overvoted, that is they voted for more candidates than are permitted for that contest, put a hash mark in the "Overvote" line for that office or ballot proposal on the audit tally sheet, EXCEPT THAT;

12 e) In the case of a candidate whose name appears on the ballot more than once for the same office, and the voter marked the ballot more than once for the same candidate for the same office, the audit team shall enter a single hash mark on the audit tally sheet where the first vote appears for the candidate in that contest.

12 f) The audit team will then total the votes for all candidates for each office, write-in, or all the "yes," "no," votes on any ballot proposal(s), blanks and overvotes for each question. The total number of hash marks (votes) for a „vote for one" office must equal the number of ballots in the bound pile (i.e. 50) votes for that office (including the votes for each candidate, write-ins, blanks and overvotes).

12 g) For offices where the voter may vote to fill two positions, the total votes counted should total 100. For offices where the voter may vote to fill three positions the total votes counted should total 150, and so on.

12 h) If the total does not equal 50 the team should check their hash marks for that office/question and correct any errors. The team is done auditing a 50 ballot pile at the point when the office/question totals equal 50.

12 i) As the teams audit, if there is any question regarding how a vote should be recorded, call the audit team supervisors to your table and seek their instructions on how the ballot should be audited.

12 j) If after receiving supervisor instructions, the audit team is still unable to determine whether or not to record the vote in question, the audit team members will then follow the Resolution Procedure found in Step 13.

12 k) If there are many questioned ballots that need to be decided, it is recommended that the audit team hold these ballots aside, complete the remaining ballots in that bound pile and then resolve all questioned ballots within the bundle being audited, at one time. If this is done, however, it is further recommended that all questionable ballots be resolved before the audit team totals are tallied for each bundle. This ensures that the election officials do not know whether the vote on a particular ballot will affect the

outcome of the audit. This process reinforces the neutrality and enhances the legitimacy of the audit process.

Step #13 - Audit Resolution Process:

For any votes which remain uncounted, even after escalation to the audit team supervisors, those supervisors shall consult with the Commissioners, for a final determination. The Commissioners shall affix a note to each such ballot, making clear their determination(s). The supervisors shall return the ballot(s) to the audit team, whereupon the audit team shall abide by the Commissioners‟ determination without further debate, and reflect such determination in the audit results.

Step #14 - Starting with the first contest on the ballot:

14 a) One audit team member (the reader) should read aloud the name of the candidate or the word yes or no for questions which received the vote on the ballot being audited.

14 b) Another audit team member of the opposite political faith than the reader shall observe the ballot to ensure that the vote has accurately been announced.

14 c) As the votes are read aloud, another audit team member (the marker) of the opposite political faith than the reader shall make a hash mark beside that name on the audit tally sheet, and as he or she tallies a vote, shall announce clearly the name of the person for whom he or she tallies it (or in the case of a write-in, blank, overvote or yes or no vote for a ballot proposal, as the case may be).

14 d) Another audit team member of the opposite political faith than the marker shall observe the marks being posted to the audit tally sheet to ensure that they have been accurately marked.

Step #15 - Continue this process until the votes cast on the entire ballot have been marked on the tally sheet. Then proceed to the next ballot. If a voter has not voted for any candidate for a particular office the reader should state "blank" and the marker should mark the "blank" row for that office on the tally sheet.

Step #16 - If the voter voted for two or more candidates for an office where the ballot instructs to vote for one, the reader should read off "overvote" and the marker should mark the "overvote" row on the tally sheet. If the instructions are that a voter should vote for two and the voter voted for three or more follow these same instructions.

Step #17 - When all ballots from the bound pile of ballots (i.e. 50) have been marked on the tally sheet the hash marks should first be totaled for each candidate including the "blank" and "overvote" rows and the write-in row and then for each office. The total votes for each office/question should equal 50. If

they do not, go back through the pile and correct any counting/marking errors.

Step #18 - Upon completion of the audit count for each respective bound pile, each member of the Bi-partisan audit team of inspectors shall sign and date the audit tally sheet, and bind the pile of ballots with the audit tally sheet on top with a rubber band or clip. They then set that pile aside on the audit table until it can be aggregated into the final reconciliation audit tally report from all of the respective bound piles from the same voting machine.

Step #19 - Continue the audit process with the next pile of ballots.

Step #20 - Upon completion of the audit counting when all of the bound piles contained within the voting machine ballot box for a particular election district, and in the case of a primary election further sorted by party, have been counted, the Bi-partisan audit team shall tally the piles and aggregate their numbers on a multi-part reconciliation audit tally report. Each member of the Bi-partisan audit team of inspectors shall sign and date the reconciliation audit tally report and secure all of the bound pile of ballots with one copy of the reconciliation report on top.

Step #21 - The audit team inspectors shall then place all ballots from a single voting machine into a secure container (i.e. banker storage box) labeled with identification information showing the election date and type and the voting machine serial number.

Step #22 - The audit team supervisors should ensure that the audit counting site maintains an orderly and appropriate atmosphere in which audit teams can complete the tallies. The tallying must occur in a manner that provides an opportunity for all legally-present observers to view the audit process. Be mindful however, that when all the audit team inspectors and any other audit team members gather at the audit tallying table and watch the final calculations, everyone conducts themselves in a way that puts no pressure on those making the final calculations, so that the opportunity for disruption and error is diminished. The tallying team should tally the results for all elections. The use of a printing calculator allows the team to check the printed calculator tape as a means of ensuring the accuracy of the tally. The final tallies should be written down on the reconciliation audit tally report, signed and dated by each member of the audit team.

Step #23 - The audit supervisors shall then retrieve the vote tabulation printout produced by the voting system being audited as completed and attested to at the close of polls by the voting system's primary election inspectors and compare the respective tabulation of votes from such tape to the respective election district/contest reconciliation audit tally report

23 a) The audit supervisors shall then record in the space provided in the reconciliation audit tally report for the supervisors' official use, the respective machine totals (tape) numbers.

23 b) They shall then compare the audit vote totals with the machine totals and note any discrepancies between the totals. If any discrepancies are found, the audit supervisors and the audit inspector team(s) shall attempt to resolve the discrepancy. See proposed Part 6210.18 (c) (2).

23 c) If any unresolved discrepancy is detected between the manual count and the machine totals (tape), even an unresolved discrepancy of a single vote, the manual count shall be conducted a second time on such machine or system to confirm the discrepancy.

23 d) If such voting system is required to be re-audited, to the extent possible, the re-audit should be conducted by a different audit inspector team.

Step #24 - The audit team members shall then cause the ballot box or other secure ballot container to be sealed and shall record such seal(s) on the chain of custody report.

Step #25 - Upon completion of the initial phase of the audit, the reconciliation audit report shall be submitted to the election commissioners or their designees for determination on whether or not an expansion of the audit is required. The election commissioners or their designees shall date and affix their signatures to the reconciliation audit report on which their determination has been indicated.

Step #26 - Announce the results of the initial phase of the audit.

Step #27 - If an escalation of the audit is required, the audit teams shall next audit the ballots from the next group of voting machines or systems identified in the original random drawing of machines to be audited.

APPENDIX 1 - SECTION 6210.18 THREE-PERCENT (3%) AUDIT REGULATIONS

Subtitle V of Title 9 of the Official Compilation of Codes, Rules and Regulations of the State of New York is hereby amended by repealing Part 6210.18, and by adding thereto a new Part, to be

Part 6210.18, to read as follows:

Section 6210.18 Three-Percent (3%) Audit

(a) As required by NYS Election Law Section 9-211, the board of elections or a Bi-partisan team appointed by such board shall manually count all votes of the voter verifiable paper audit trail (VVPAT) from no less than 3% of each type of voting machine or system used within the county.

(b) The voting machines or systems to be audited to meet the county-wide minimum requirement set forth in Subdivision (a) herein shall be selected by lot through a transparent, random, manual process where all selections of machines or systems used in the county are equally probable. The county boards shall adopt one of the random, manual selection methods prescribed by the State Board of Elections or such county board may submit for approval by the State Board a proposed alternative random, manual selection method. County Board adoption of the prescribed random, manual selection method shall take place not later than 45 days after the purchase of a voting system and notice by the County

Board of the adoption of such random, manual selection method shall be filed with the State Board.

(1) As required by NYS Election Law Section 9-211, not less than five days prior to the time fixed for the random selection process, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board‟s jurisdiction and to the State Board. Such notice shall state the time and place fixed for such random selection process. Such random selection process shall not occur until after election day. Each candidate, political party or independent body entitled to appoint watchers to attend at a polling place shall be entitled to appoint such number of watchers to observe the random selection process and the subsequent audit.

(2) Such notice shall also announce the date, time, and location that the audit shall commence, information on the number of audit teams which will conduct such audit, and such other information that the County Board deems necessary.

(3) The county board shall at a single session randomly select from all machines and systems used within the county in the election so that no further drawings are required if anomalies are encountered during the manual audit. The audit shall commence on the same day as the random, manual selection process.

(4) Prior to auditing the audit records, the county board shall distribute to those in attendance at the audit session, copies of the list showing the number of machines and systems needed to meet the audit requirement for each contest and any questions or proposals, and the unofficial vote results per voting machine or system selected for audit.

(c) For each voting machine or system subject to be audited, the manual audit shall consist of a manual tabulation of the voter verifiable paper audit trail records and a comparison of such count, with respect to all candidates and any questions or proposals appearing on the ballot, with the electronic vote tabulation reported for such election district.

(1) A reconciliation report, on a form prescribed by the State Board of Elections, that reports and compares the manual and electronic vote tabulations for each audited candidate for each contest and any question or proposal from each machine or system subject to the audit by election district, including tallies of overvotes, blank votes, blank ballots, spoiled ballots and rejections recorded on the VVPAT, along with any discrepancies, shall be prepared by the board of elections or a Bi-partisan team appointed by such board and signed by such members of the audit team.

(2) Any discrepancies between the corresponding audit results and initial electronic vote counts shall be duly noted, along with a description of the actions taken by the county board of elections for resolution of

discrepancies. The number and type of any damaged or missing paper records shall be duly noted.

(3) If any unresolved discrepancy is detected between the manual count described in Subdivision (c) above and the machine or system electronic count, even an unresolved discrepancy of a single vote, the manual count shall be conducted a second time on such machine or system to confirm the discrepancy.

(d) The reconciliation report required in Subdivision (c) above shall be transmitted to the County Board commissioners or their designees upon completion of the initial phase of the audit for determination on the expansion of the audit conducted pursuant to Subdivisions (e) through (g) herein.

(e) The county board shall aggregate the audit results reported pursuant to Subdivision (c) (2) herein that are applicable to any contests, questions or proposals. The aggregated results for each contest, question or proposal shall be used to determine whether further auditing is required as follows:

For any contest, question or proposal, an expanded audit will be required if either or both of the following criteria apply to the aggregated audit results:

(i) Any one or more discrepancies between the confirming manual counts described in Subdivision (c) (3) herein and the original machine or system electronic counts, which taken together, would alter the vote share of any candidate, question or proposal by one

tenth of one percent (0.1%) or more of the hand counted votes for respective contests, questions or proposals in the entire sample; or

(ii) If discrepancies of any amount are detected between the confirming manual count described in Subdivision (c) (3) herein and the original machine or system electronic count from at least 10% of the machines or systems initially audited then the board or Bi-partisan team appointed by such board shall manually count the votes recorded on all the voter verifiable paper audit trail records from no less than an additional 5% of each type of the same type of voting machine or system which contains any such discrepancy or discrepancies.

(iii) When determining whether discrepancies warrant expanding the audit, the percentage-based thresholds in this section shall be rounded down by truncating the decimal portion (with a minimum of 1).

(f) A further expansion of the audit will be required if either or both of the following criteria apply to the audit results:

(1) For each contest, question or proposal, the county board shall aggregate the results from the initial audit as required in Subdivision (a) above and the expanded 5% audit. If, such aggregated results of unresolved discrepancies satisfy the criteria in Subdivision (e)(1)(i) above, a further expansion of the audit will be required.

(2) For each contest, question or proposal, the county board shall take the results of the 5% expanded audit under Subdivision (e) above, and, if such results of unresolved discrepancies satisfy the criteria in Subdivision (e)(1)(ii) above, a further expansion of the audit will be required.

(3) When an expanded audit is required for a contest pursuant to this section, each county board or Bi-partisan team appointed by such board shall manually count all voter verifiable paper audit trail records from no less than an additional 12% of each type of the same type of voting machine or system which contains any such discrepancy or discrepancies.

(4) When determining whether discrepancies warrant expanding the audit, all percentage-based thresholds in this section shall be rounded down by truncating the decimal portion (with a minimum of 1).

(g) A further expansion of the audit will be required if either or both of the following criteria apply to the audit results:

(1) For each contest, question or proposal, the county board shall aggregate the results from the initial audit as required in Subdivision (a) above and the expanded audit as required in Subdivision (e) and (f) above. If, such aggregated results of unresolved discrepancies satisfy the criteria in Subdivision (e)(1)(i) above, a further expansion of the audit will be required.

(2) For each contest, question or proposal, the county board shall take the results of the 12% expanded audit under Subdivision (f) above, and, if

such results of unresolved discrepancies satisfy the criteria in Subdivision (e)(1)(ii) above, a further expansion of the audit will be required.

(3) When an expanded audit is required for a contest pursuant to this section, each county board shall manually count all voter verifiable paper audit trail records from all the remaining unaudited machines and systems where the contest appeared on the ballot.

(4) When determining whether discrepancies warrant expanding the audit, all percentage-based thresholds in this section shall be rounded down by truncating the decimal portion (with a minimum of 1).

(h) The standards set forth in Subdivisions (a)-(g) above are not intended to describe the only circumstances for a partial or full manual count of the voter verifiable paper audit record, but instead are designed to set a uniform statewide standard under which such hand counts must be performed. The county boards of elections, as well as the courts, retain the authority to order manual counts of those records in whole or in part under such other and additional circumstances as they deem warranted. In doing so, they should take into consideration: 1) whether the discrepancies were exclusively or predominantly found on one type of voting machine or system; 2) the size of the discrepancies; 3) the number of discrepancies; 4) the percentage of machines or systems with discrepancies; 5) the number and distribution of unusable voter-verified paper audit trail records as described in Section J below; 6) the number of cancellations recorded on the voter-verified paper audit trail records reported pursuant to Subdivision (c)(1)

herein; and 7) whether, when projected to a full audit, the discrepancies detected (no matter how small) might alter the outcome of the contest, question or proposal result.

(i) If the audit officials are unable to reconcile the manual count with the electronic vote tabulation on a voting machine or system, then the board of elections shall conduct such further investigation of the discrepancies as may be necessary for the purpose of determining whether or not to certify the election results, expand the audit, or prohibit that voting machine or system‟s use in such jurisdiction.

(j) If a complete audit is conducted, the results of such audit shall be used by the canvassing board in making the statement of canvass and determinations of persons elected and propositions approved or rejected. The results of a partial audit shall not be used in lieu of voting machine or system tabulations, unless a voting machine or system is found to have failed to record votes in a manner indicating an operational failure. When such operational failure is found, the board of county canvassers shall use the voter verifiable audit records to determine the votes cast on such machine or system, provided such records were not also impaired by the operational failure of the voting machine or system. If the voter verified paper audit trail records in any machine or system selected for an audit are found to be unusable for an audit for any reason whatsoever, another machine or system used in the same contest shall be selected at random by the county board to replace the original machine or system in the audit

sample. All such selections shall be made randomly in the presence of those observing the audit. The County Board shall inquire in an effort to determine the reason the voter verified paper audit trail records were compromised and unusable and such inquiry shall begin as soon as practicable. The results of the inquiry shall be made public upon completion.

(k) Any anomaly in the manual audit shall be reported to and be on a form prescribed by the State Board and shall accompany the certified election results.

APPENDIX 2 - NEW YORK STATE ELECTION LAW, SECTION § 9-211

§ 9-211. Audit of voter verifiable audit records.

1. Within fifteen days after each general or special election, and within seven days after every primary or village election conducted by the board of elections, the board of elections or a Bi-partisan committee appointed by such board shall manually audit the voter verifiable audit records from three percent of voting machines or systems within the jurisdiction of such board. Voting machines or systems shall be selected for audit through a random, manual process. At least five days prior to the time fixed for such selection process, the board of elections shall send notice by first class mail to each candidate, political party and independent body entitled to have had watchers present at the polls in any election district in such board"s jurisdiction. Such notice shall state the time and place fixed for such random selection process.
The audit shall be conducted in the same manner, to the extent applicable, as a canvass of paper ballots. Each candidate, political party or independent body entitled to appoint watchers to attend at a polling place shall be entitled to appoint such number of watchers to observe the audit.

2. The manual audit tallies for each voting machine or system shall be compared to the tallies recorded by such voting machine or system, and a report shall be made of such comparison which shall be filed in the office of the state board of elections.

3. The state board of elections shall, in accordance with subdivision four of section 3-100 of this chapter, promulgate regulations establishing a uniform statewide standard to be used by boards of elections to determine when a discrepancy between the manual audit tallies and the voting machine or system tallies shall require a further voter verifiable record audit of additional voting machines or systems or a complete manual audit of all machines or systems within the jurisdiction of a board of elections. Any board of elections shall be empowered to order that any such audit shall be conducted whenever any such discrepancy exists.

4. If a complete audit shall be conducted, the results of such audit shall be used by the canvassing board in making the statement of canvass and determinations of persons elected and propositions rejected or approved. The results of a partial voter verifiable record audit shall not be used in lieu of voting machine or system tallies.

5. Notwithstanding subdivision four of this section, if a voting machine or system is found to have failed to record votes in a manner indicating an operational failure, the board of canvassers shall use the voter verifiable audit records to determine the votes cast on such machine or system, provided such records were not also impaired by the operational failure of the voting machine or system.

APPENDIX 3 - NEW YORK STATE ELECTION LAW § 9-116. Tallying ballots; Generally.

§ 9-116. Tallying ballots; generally.

1. As each vote for any office or position, or upon any ballot proposal, is announced, a clerk, or, if there be no clerks, an inspector, under the scrutiny of a clerk or inspector of opposite political faith immediately shall tally it in black ink, with a downward stroke from right to left upon the official tally sheet. Each such clerk or inspector, as he tallies a vote, shall announce clearly the name of the person for whom he tallies it, or that he tallies the vote blank or void as the case may be, or, in the case of a ballot proposal, that he tallies the vote "yes" or "no". When the name of a person voted for is not printed on the tally sheet, such clerks or inspectors shall write it in full thereon in ink in the place provided therefore.

2. When all the votes upon the same office, position or ballot proposal shall have been canvassed the tally thereof shall be verified by adding together all the votes tallied thereupon. Whenever the total number of votes tallied (including blank and void votes) for any office or party position, divided by the number of persons to be nominated or elected thereto, or tallied for any ballot proposal, does not exactly equal the number of ballots cast (including blank and void ballots), a re-canvass must be made immediately in order to correct the error.

In applying this section to a primary election the tERM "ballots" means the ballots of the party whose tallied votes for an office or party position are counted as provided above . Upon a re-canvass the clerks or inspectors must keep the tally in ink from left to right across the previous tally marks.

3. When the errors if any have been corrected such clerks or inspectors shall indicate the last tally opposite each name by forthwith drawing in ink a long horizontal line immediately after the last tally mark opposite such name. Such tally sheets having thus been prepared, verified and closed, such clerks or inspectors shall sign their initials on each sheet, in any blank space thereof.

APPENDIX 4 - INVENTORY ASSIGNMENT SPREADSHEET

Inventory Assignment Spreadsheet is available for download at the SBOE FTP site.

INVENTORY ASSIGNMENT SPREADSHEET

SEQUENTIAL NUMBERING	VOTING SYSTEM SERIAL #	POLL SITE BEING SERVED	ED SERVED (IN A PRIMARY, PARTIES SERVED)	NUMBER DRAWN
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				

USE ADDITIONAL PAGES AS NECESSARY TO ACCOMMODATE YOUR INVENTORY

SIGNATURE AND DATE OF COMMISSIONERS OR RESPECTIVE DESIGNEES:

_____ _____ _____ _____

APPENDIX 5 - DRAWING BY LOT SPREADSHEET

Drawing by Lot Spreadsheet is available for download at the SBOE FTP site.

DRAWING BY LOT SPREADSHEET

SEQUENTIAL NUMBERING	POST NUMBER DRAWN
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	
21	
22	
23	
24	
25	
26	
27	
28	
29	
30	
31	
32	
33	
34	
35	
36	
37	
38	
39	
40	

USE ADDITONAL PAGES, AS NECESSARY, TO ACCOMMODATE YOUR INVENTORY

SIGNATURE AND DATE OF COMMISSIONERS OR RESPECTIVE DESIGNEES:

_____ _____

APPENDIX 6 - AUDIT TEAM OATH

Audit team oath is available for download at the SBOE FTP site.

OATH OF OFFICE

Swear in Audit Inspector officials as election officials:

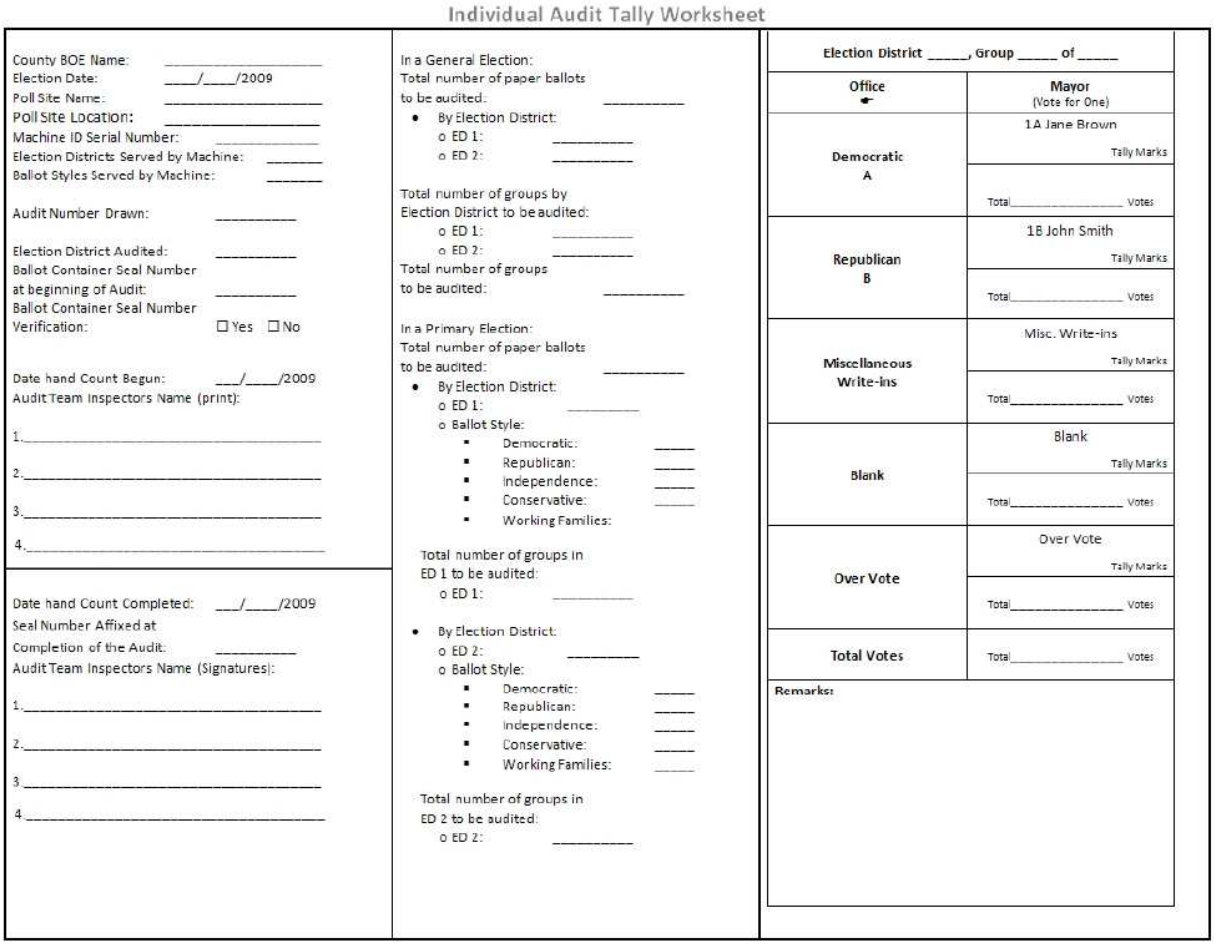
"I, _____(insert name) the undersigned do solemnly swear (or affirm) that I will support the Constitution of the United States of America and the State of New York; and that I will faithfully discharge the duties of the office of Audit Inspector for the County of _____ according to the best of my ability, that I am a registered voter and resident of such county, that I do not hold any public office, am not a candidate for any office to be voted for by the voters at this election or the spouse, parent or child of such candidate, that I have not been removed or otherwise disqualified as an election worker and am able to speak and read the English language and write it legibly."

Signature: _____ Date: _____

Keep original oath on file, and provide a copy to the audit team member.

APPENDIX 7 - INDIVIDUAL AUDIT TALLY WORKSHEET

Inventory Assignment Spreadsheet is available for download at the SBOE FTP site.



Individual Audit Tally Worksheet

County BOE Name: _____
Election Date: ____/____/2009
Poll Site Name: _____
Poll Site Location: _____
Machine ID Serial Number: _____
Election Districts Served by Machine: _____
Ballot Styles Served by Machine: _____

Audit Number Drawn: _____

Election District Audited: _____
Ballot Container Seal Number at beginning of Audit: _____
Ballot Container Seal Number Verification: ☐ Yes ☐ No

Date hand Count Begun: ___/____/2009
Audit Team Inspectors Name (print):

1._____
2._____
3._____
4._____

Date hand Count Completed: ___/____/2009
Seal Number Affixed at Completion of the Audit: _____
Audit Team Inspectors Name (Signatures):

1._____
2._____
3._____
4._____

In a General Election:
Total number of paper ballots to be audited: _____

- By Election District:
  - o ED 1: _____
  - o ED 2: _____

Total number of groups by Election District to be audited:
- o ED 1: _____
- o ED 2: _____

Total number of groups to be audited: _____

In a Primary Election:
Total number of paper ballots to be audited: _____

- By Election District:
  - o ED 1: _____
  - o Ballot Style:
    - Democratic: _____
    - Republican: _____
    - Independence: _____
    - Conservative: _____
    - Working Families: _____

Total number of groups in ED 1 to be audited:
- o ED 1: _____

- By Election District:
  - o ED 2: _____
  - o Ballot Style:
    - Democratic: _____
    - Republican: _____
    - Independence: _____
    - Conservative: _____
    - Working Families: _____

Total number of groups in ED 2 to be audited:
- o ED 2: _____

Election District _____, Group _____ of _____

Office ☛	Mayor (Vote for One)
Democratic A	1A Jane Brown Tally Marks Total_____ Votes
Republican B	1B John Smith Tally Marks Total_____ Votes
Miscellaneous Write-ins	Misc. Write-ins Tally Marks Total_____ Votes
Blank	Blank Tally Marks Total_____ Votes
Over Vote	Over Vote Tally Marks Total_____ Votes
Total Votes	Total_____ Votes

Remarks:

APPENDIX 8 - RECONCILIATION AUDIT TALLY REPORT WORKSHEET

Inventory Assignment Spreadsheet is available for download at the SBOE FTP site.

Reconciliation Audit Tally Report Worksheet

County BOE Name: _____
Election Date: ____/____/2009
Poll Site Name: _____
Poll Site Location: _____
Machine ID Serial Number: _____
Election Districts Served by Machine: _____
Ballot Styles Served by Machine: _____

Audit Number Drawn: _____

Election District Audited: _____
Ballot Container Seal Number at beginning of Audit: _____
Ballot Container Seal Number Verification: ☐ Yes ☐ No

Audit Team Supervisor Certificate

We the undersigned Audit Team Supervisors, having completed the Audit Reconciliation Summary, do hereby recommend the Audit:

Initial Audit ☐ **PASS** ☐ **FAIL**
(If initial audit failed, 2nd Audit (6210.18(c)(3))
2nd Audit ☐ **PASS** ☐ **FAIL**

Print Supervisor Names:
1._____
2._____

Seal Number Affixed at Completion of the Audit: _____

Supervisor Signatures:

1._____

2._____

Date: ____/____/2009

Commissioner Certificate

We the undersigned Commissioners, having reviewed the Audit Reconciliation Summary Report, do hereby direct the following:

☐ The audit results confirm the electronically-tabulated results. No further action is required.

OR

☐ The audit results DO NOT confirm the electronically-tabulated results, thus requiring the escalation of the audit, to level:

☐ 5% - 6218.18 (f) (1)
☐ 12% - 6210.18 (f) (3)
☐ 100% - 6210.18 (g) (4)

DATE: ____/____/2009

_____
(Commissioner Signature – or designee)

_____
(Commissioner Signature – or designee)

Remarks:

Election District _____

Office ←	Mayor (Vote for One)
Democratic A	1A Jane Brown Total_____ Hand Count Results Total_____ Machine Results Total_____ Difference Total_____ Number Unresolved Discrepancies
Republican B	1B John Smith Total_____ Hand Count Results Total_____ Machine Results Total_____ Difference Total_____ Number Unresolved Discrepancies
Miscellaneous Write-ins	Miscellaneous Write-ins Total_____ Hand Count Results Total_____ Machine Results Total_____ Difference Total_____ Number Unresolved Discrepancies
Total Votes	Total Votes Total_____ Hand Count Results Total_____ Machine Results Total_____ Difference Total_____ Number Unresolved Discrepancies

Remarks:

APPENDIX 9 - COMMISSIONERS' AUDIT RECONCILLIATION

CERTIFICATION TEMPLATE

THIS IS A PLACEHOLDER- THE REVISED FORM WILL BE PROVIDED UPON REVIEW AND APPROVAL OF THE PILOT REVIEW COMMITTEE

The WORD version of this CERTIFICATION is available on the CBOE portal so that you can modify it to meet your needs. It is to be completed for each scanner audited, and on County Board of Elections letterhead, and shall include the following, to be completed, signed and dated by the Commissioners of Elections, and filed with the State Board of Elections. You may put multiple scanner serial numbers on a single form unless you had to escalate an audit, in which case you must file a certificate for each
scanner that was audited in the escalation

COMMISSIONERS' AUDIT RECONCILLIATION CERTIFICATION

COUNTY _____ DATE _____

Scanner Serial # _____

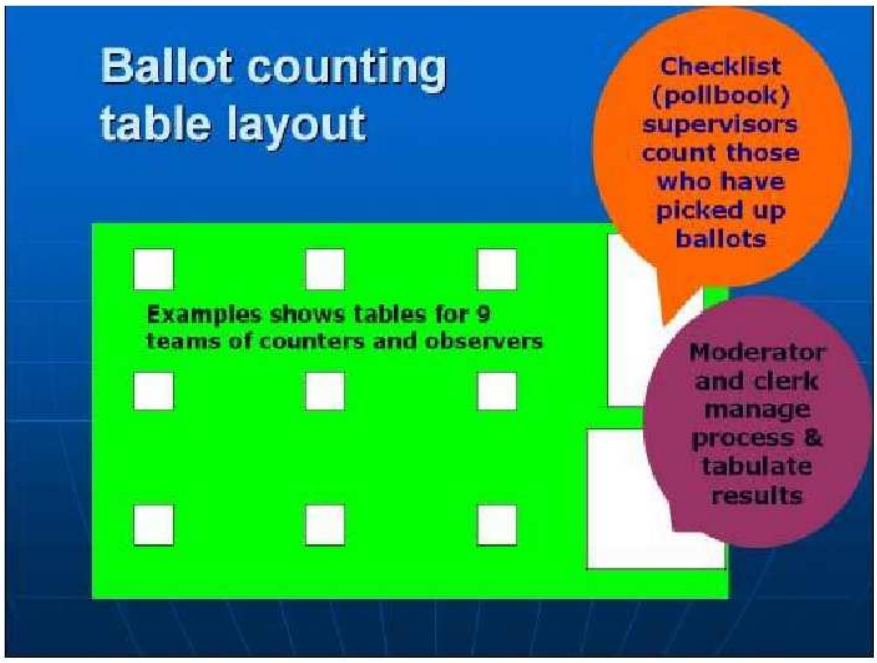
We the undersigned Commissioners, having reviewed the Audit Reconciliation Summary Report, do hereby certify the following:
_____ The audit results confirm the electronically-tabulated results. No further action is required.
_____ The audit results reveal unexplained discrepancies from the tabulated results, thus requiring the escalation of the audit, to level:

6218.18 (f) (1) 5%
6210.18 (f) (3) _____ 12%
6210.18 (g) (4) _____ 100%

Subsequent to the escalation described above, all discrepancies have been resolved.

DATE:
SIGNATURE: _____ SIGNATURE _____

Appendix 10 - Ballot counting table layout example from NH


Ballot counting table layout
Checklist (pollbook) supervisors count those who have picked up ballots
Examples shows tables for 9 teams of counters and observers
Moderator and clerk manage process & tabulate results

APPENDIX 11 - BRENNAN CENTER REPORT ON POST ELECTION AUDITS

THE CHALLENGE OF MATCHING PAPER AND ELECTRONIC RECORDS

Counting paper records presents at least two related problems. The first is that people often miscount. Consequently, there are going to be many instances where the hand count of paper records and the electronic tally do not match, not because there was a problem with the machines, but because the auditors made mistakes counting. There has been very little research evaluating different methods of hand-counting, but we discuss directions such research should take in the "Directions for the Future" section of this paper.

Several jurisdictions partially address the problem of miscounting by having at least two people count the same paper record. For example, San Mateo County, California uses a team of four people to conduct their post-election audit. One person reads and announces the contents of a given paper record, another observes that the paper record has been announced correctly and two people record a running tally of votes for each contest. The recorders announce the end of each ten-vote increment, at which point the team checks for errors in the tally. If the team finds an error, the counting process can be rolled back to the last point of agreement.

Minnesota provides an example of how incremental checking during post-election audits works in practice. Minnesota law requires election judges to count the votes for each race or ballot question by creating piles of voted ballots for each candidate in a race and piles for blank or defective responses. Election judges check the sorted piles of ballots for the particular race or question to ensure that all ballots have been placed in the correct pile. Ballots may be stacked in groups of twenty-five crosswise. After the final count for the race or question is completed, all ballots are returned to a single pile and the process is repeated for the subsequent race or ballot question.

The second, related problem is that auditors are likely to *want* the paper records to match the electronic records. The problems in Cuyahoga County, Ohio in 2004, where audit supervisors rigged the ballot selection so that no discrepancies would be found, exemplify the danger of auditors hoping to find perfect matches and to avoid the difficult questions and additional work that might result if the records do not match.

To counter the understandable temptation to make the paper and electronic records match, we recommend against revealing the unofficial electronic election results to the individuals performing the manual count. The audit teams should not have access to the unofficial results; an audit supervisor or election official can serve as a buffer and inform each team if their audit results match the unofficial electronic results, without revealing the magnitude or direction of any deviation. If the manual count does not match the electronic results, the audit team should conduct additional "blind" recounts of the records of affected races. This practice need not prevent elections officials from freezing and publishing unofficial election results prior to conducting the audits; it merely means

that auditors should not be made aware of the vote tallies on the particular machines they are auditing.

Manual counts may sometimes reveal different voter intent than machine counts of ballots. Overvotes, marginal marks, hesitation marks, and other stray markings on manually marked ballots could cause optical scan voting machines to misinterpret voter intent that a human reviewer would be able to discern. This may lead to deviations or explained discrepancies when auditing optical scan paper ballots. Fortunately, these discrepancies are easy to recognize and account for, so they should not cause any serious problem; they qualify as an explained discrepancy and need not trigger any kind of recount or additional audit, except in the case of an extremely close race.

To see the entire Brennan Center report referenced here, see http://electionaudits.org/node/14 - Brennan Center Report on Post-Election Audits